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ABSTRACT

At the hearing recorded in this document, which was held at the University of Alabama in Birmingham, Alabama, testimony and prepared statements were received concerning the role of urban universities in economic and community development, with special attention to other forms of incentives that the Federal Government could be providing to city/university partnerships over and above those contained in the Urban Grant University Program. Additionally, testimony was heard from representatives of the city of Birmingham and the University of Alabama about projects taking place in that city. Among those providing prepared statements and/or giving testimony were the following: William Bell, Chairman, Committee on Economic Development, Birmingham City Council; Michael Dobbins, Director, Department of Urban Planning, City of Birmingham; Cleveland Hammonds, Superintendent of Schools, City of Birmingham; Jim Harrison, President, Association of Urban Universities; and Kenneth Roozen, Vice President for Research and University Affairs, University of Alabama at Birmingham. Among the additional materials included are articles from the Reader's Digest and The New York Times concerning university/community partnerships in community development. (GLR)

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THE ROLE OF URBAN UNIVERSITIES IN ECONOMIC AND COMMUNITY DEVELOPMENT

ED342346

HEARING

BEFORE THE

SUBCOMMITTEE ON
POLICY RESEARCH AND INSURANCE

OF THE

COMMITTEE ON BANKING, FINANCE AND URBAN AFFAIRS
HOUSE OF REPRESENTATIVES

ONE HUNDRED SECOND CONGRESS

FIRST SESSION

OCTOBER 28, 1991

Printed for the use of the Committee on Banking, Finance and Urban Affairs

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THE ROLE OF URBAN UNIVERSITIES IN ECONOMIC AND COMMUNITY DEVELOPMENT

MONDAY, OCTOBER 28, 1991

HOUSE OF REPRESENTATIVES,
SUBCOMMITTEE ON POLICY RESEARCH AND INSURANCE,
COMMITTEE ON BANKING, FINANCE AND URBAN AFFAIRS,
Washington, DC.

The subcommittee met, pursuant to call, at 9:02 a.m., in the Great Hall, Hill University Center, University of Alabama at Birmingham, Birmingham, AL, Hon. Ben Erdreich [chairman of the subcommittee] presiding.

Present: Chairman Erdreich and Representative Harris.

Chairman ERDREICH. We will call this hearing to order. I have a full statement and without objection I am going to make that a part of the record and read an abbreviated opening statement.

I have called this hearing today to consider the role of urban universities in economic and community development and to call attention to the important work taking place here in the city of Birmingham and, of course, throughout the country with partnerships between urban universities and their communities. It is very appropriate that we hold this hearing on the UAB campus. As an urban university, UAB has demonstrated a willingness and ability to help make its surrounding community a better place to live and work in.

In 1978—if I could go back on a personal note—as a member of the Jefferson County Commission, I testified on campus right here before another congressional committee in support of the Urban Grant University Program. Today, as a Member of Congress and chairman of the Policy Research Subcommittee, I am happy to help secure funding for this program and I hope the city of Birmingham and UAB will be able to take advantage of it.

Earlier this month, I urged members of the House Appropriations Committee to fund the Urban Grant University Program for the first time since its enactment. We are hopeful that the House and Senate, which have agreed on an $8 million allocation, will keep that in the final bill as it moves through Congress at the end of this month or the first of next month. This program and its funding will help support the very work that universities like UAB are now undertaking.

Today, we will hear testimony from representatives of the city and the university about projects taking place here in our great city. They include the sponsorship of a small business incubator and a research park, the adoption of neighborhoods to address

social and health related problems, and the development of affordable housing and new office space. We can all be proud of these accomplishments. They represent a new force in community and economic development, one that I believe needs to be encouraged. The partnership here in Birmingham between the university and the city of Birmingham highlights the valuable work that urban universities and their communities can join together to accomplish.

Nationwide, other urban universities have also engaged in similar work, including Marquette University in Milwaukee and VCU in Richmond. This work has been aided by the advocacy of the Association of Urban Universities, the National Association of State Universities and Land Grant Colleges and individual schools like UAB.

I hope to learn from our witnesses today other forms of incentives, in addition to the Urban Grant University Program that the Federal Government could be providing to city-university partnerships. Specifically, as chairman of the Policy Research Subcommittee of the House Banking Committee, I hope to determine what programs under our jurisdiction relating to housing and community development could be utilized to further the important work of these partnerships.

I want to thank my colleague from Tuscaloosa, Congressman Claude Harris, for joining me here today on the panel.

Claude, I appreciate you being here and if you have an opening statement, you are recognized.

Congressman Harris.

[The prepared statement of Mr. Erdreich can be found in the appendix.]

Mr. HARRIS. Thank you, Mr. Chairman. It is a pleasure to be here and thank you so much for the opportunity.

I am very interested in the Urban Grant University Program as well as how it will promote economic development in our communities. I know UAB is involved in several ventures in Birmingham such as the Titusville project and Oxmoor project.

At the University of Alabama, which is in my district, there are also many programs geared toward helping surrounding rural communities as well as the city of Tuscaloosa with economic development.

For example, in December 1984, *Reader's Digest* published an article entitled "The University that Saved a Factory". This article tells the true story of how the University of Alabama saved a General Motors plant. During the recession a GM plant was on the brink of failure. Hundreds of Alabama jobs would have been lost. Realizing the seriousness of this situation, the university met with the managing team in Rochester, NY, to present a proposal to assist this GM plant in staying open. The plan was adopted by General Motors and the GM plant remains open today. This is just one example of how the University of Alabama is constantly working toward strengthening our economy.

Today, I am interested in hearing specific examples of how the Urban Grant University Program could assist Tuscaloosa, Birmingham, and surrounding areas in economic development.

I thank Chairman Erdreich and support his efforts in boosting this program.

Chairman ERDREICH. Thank you, Congressman Harris. We appreciate your being here.

We are going to move forward then with our first panel. William Bell, as we know, is a member of the Birmingham City Council and also chairman of its Committee on Economic Development. Dr. William Sibley is vice president for academic affairs at UAB here in Birmingham. We welcome you to our hearing this morning, gentlemen.

If you would go forward with your statements, we will first hear from Councilman William Bell.

STATEMENT OF WILLIAM BELL, CHAIRMAN, COMMITTEE ON ECONOMIC DEVELOPMENT, BIRMINGHAM CITY COUNCIL

Mr. BELL. Congressman Erdreich, Congressman Harris, on behalf of the mayor of the city of Birmingham, Mayor Richard Arrington, the president of our city council, Dr. E.L. Blankenship, and all the members of the Birmingham City Council, we thank you for this opportunity to come before the subcommittee to show you our appreciation for the cooperative effort that we have with the University of Alabama here in Birmingham, to make Birmingham a quality environment and a place of great economic potential.

Over the years, UAB has been looked upon as a savior of this city. The reason being, back in the late 1970's and early 1980's, a time of great economic hardship, there were many industrial facilities in our area that were closed and hundreds, if not thousands, of individuals were laid off during that period of time.

Through a transitional effort on behalf of UAB as well as the city of Birmingham, many of those jobs have been recovered through the growth in economic potential of the university itself. Over the past 12 years, because of that effort, we have entered into many joint agreements with the university that have enhanced and improved the economic climate here in Birmingham.

In addition to not only being a major employer, the number one employer here in the Birmingham area, UAB has entered into many joint agreements which have been instrumental in doing financial forecasting for the city of Birmingham. They have also played a role in determining what is the business climate, the business environment, that exists here in the community. They have shared with us their expertise in such fields as not only finance and marketing, but engineering as well.

Other areas in which there has been cooperative efforts between the city of Birmingham has been through the JTPA Federal funded program whereby the city has provided funds to the university to enhance training availability for individuals who were either undertrained or had no training at all through the university system. We have developed through the years the Incubator Program for science oriented programs whereby individuals who are within the university setting have been able to take research projects and put them in an environment that they can develop a business market for. In addition to that the university, as well as the city, has been looking at the potential of developing a research facility out in our Oxmoor Research Park. This will take the Incubator Program a step further. Not only will they have the ability in a protected en-

vironment to develop a potential product, but they will also have the space by which to market that product and get that product out, to create a viable economic force.

Other programs that we have developed—in past months there was an announcement between the city of Birmingham, the Birmingham Board of Education, and UAB concerning schools of the future. This will be a program whereby a model school will be set up in the Oxmoor Valley area. This school will incorporate all the experimental as well as research programs in the education field, to see what will work in the classroom. Once it is tested and developed in that particular setting, it will be distributed throughout other schools within the city of Birmingham school system as well as school systems throughout the State. We feel that this holds a great potential for us as we try to find ways of bringing our educational system up to a world class standard.

UAB has been very instrumental in helping on the neighborhood level, especially in the area of education, through our Adopt-A-School Program. UAB has taken upon itself to adopt Washington Elementary School which is in the Titusville, or as we call it, the Titusville area, of our city. That announcement brought the Secretary of Health and Human Services, Dr. Lewis Sullivan, to our community to look at Washington School and hear from the city as well as UAB, what the future plans are for that community. What they will be focusing on at Washington Elementary School and in the Titusville community is health-related activities of how we can make sure that each one of our students and each one of the kids who are in school there have the best—are brought up to the best development of their physical condition to be acceptable to the education process that goes on in Washington School. They will be doing studies and testing of the children there to make sure that they get all the proper medical assistance that they need to be productive individuals in their school life.

The Special Studies Program, continuing education, has been very vital in determining the needs in looking at our community as a whole, to do surveys and find out where is it that people want to go with our community and how we best can get there.

As you know, several years ago, the university, the city of Birmingham, and the Health Service Foundation entered into an agreement that brought about a $100 million development here on our south side, which is the Health Service Foundation. That project is nearing completion of its first phase, and if you have the opportunity and time, if you have not already seen it, I think it would behoove you to go by there and take a look at that. We are talking about hundreds of jobs being maintained, we are talking about the allocation of additional space in our health-related services that will make it much easier for individuals to come and get outpatient treatment and care here in the university sector. You are talking about becoming a world class treatment facility that will attract people not only from the southeast, but from all over this country, if not from all over the world. The Health Service Foundation—as I say, there is a $100 million project that we all can be proud of, and through this cooperative effort of both the city, the UAB, and the Foundation, we will have something that we all can be very proud of.

I will be happy to rest at this time until we hear from Dr. Sibley on other matters and then I will be happy to take any questions that you might have.

Chairman ERDREICH. Thank you very much, Councilman Bell, that was excellent.

Dr. Sibley, without objection, we are going to make your written statement a part of the record, and you may proceed as you wish with your oral statement.

STATEMENT OF DR. WILLIAM SIBLEY, VICE PRESIDENT FOR ACADEMIC AFFAIRS, UNIVERSITY OF ALABAMA AT BIRMINGHAM

Dr. SIBLEY. Thank you very much.

Congressman Erdreich and Congressman Harris, I want to welcome you to UAB, as well as your staff members. It is a great pleasure to have you here. I also bring special greetings from President Charles McCallum. He wanted to be here, but he had a previous commitment out of town. His expertise is just exceedingly great in this area and he is an important resource for us and for you.

The urban community is critical to the future well-being of the United States. It has great potential but it needs assistance in infrastructure and education. Councilman Bell has already expressed the relationship that we have in Birmingham between the city and UAB, and it is my hope that this hearing will testify to the renewed interest in building the urban universities and the urban university/urban partnership in this country. The land grant universities, space universities, sea grant universities have all been important. This is especially the case for land grant universities at a time when our Nation needed an emphasis on food and engineering.

I believe it is time now for the urban university emphasis, and I really appreciate your support of the Urban Grant University Program. It is an extremely important program to all of us in the community and at the university. In future competition, the United States must have strong urban centers and the urban university can be of great assistance in this area.

Councilman Bell has already outlined a number of our cooperative programs and I will just hit the highlights. Recently our Department of Electrical and Computer Engineering and several professors of electrical engineering, received a certificate from the city commending them for help with energy savings. They were able to use computer programming to establish a better way to provide utilities for the city. That program is ongoing, and forms a great team effort between the city and UAB.

Similarly in the environmental area, our civil engineering people and the Health Programs personnel can be of great assistance in environmental studies.

One program that I believe highlights the teamwork between the needs of the city, the businesses in the city, and the university, was initiated by one of our businessmen, Charles Collat. He established a Chair of Industrial Distribution at UAB. Industrial distribution deals with the problem of providing the appropriate electrical utilities, electrical equipment, and plumbing equipment, to buildings in

a time-effective manner. It is difficult to hire qualified people in this area who have the appropriate engineering and business combination. After the Chair was established, another businessman, Caldwell Marks, and Charles Collat are now working with our faculty to develop a curriculum in this area. This illustrates that collaboration, cooperation, and pooling resources can meet the needs of the city, the State, and the Nation. Councilman Bell alluded to the K-12 school system cooperative programs. One of these I would like to bring to your attention is a fun program. This is for seventh grade girls. There 40 of these young women learning mathematics. They work every Saturday, their parents bring them in every Saturday. It is a very cost-effective program that has meant a great deal to these young women and to their parents. They want to see this continue, but funding is a problem. Again, collaboration between the K-12 school systems, both in Birmingham and in the counties, and UAB can help this continue.

Helping young people with learning disabilities, Head Start and other areas, of course, is a focus of the Civitan International Research Center. We just recently received a very nice grant, almost $8 million to oversee some of the Head Start Programs in the United States through the Civitan Center.

I am particularly proud of our minority commitment and the commitment that President McCallum made some time ago to developing minority programs at UAB. And I was especially pleased when a National Science Foundation friend of mine called me to mention we were probably the largest recipient of the Patricia Roberts Harris Fellowships this year. It is always nice to have the National Science Foundation recognizing what the Department of Education is doing and that UAB has a particularly important part in this program.

Because of the efforts put forth by UAB and the community working together, Coca Cola, Time-Warner, IBM, 3M, and others have made fellowships and scholarships available to our minority students. We have an outstanding program in that area which is important to the city of Birmingham. This program will continue to grow with help from other agencies and I must say that we were very pleased to receive one of the prestigious IBM graduate fellowship awards this year.

Titusville has already been mentioned by Councilman Bell. It is a fantastic program, I will not cover it any further except to say that I was very impressed when our medical group was invited to make eye tests in the Titusville school. In these exams, 20 percent of the young people were found not to be able to see the blackboard from where they sat in the school. This was rectified and it will enable them to progress as they should.

Certainly, we believe the University of Alabama at Birmingham exemplifies this kind of cooperative and collaborative effort between the universities and urban communities. We are delighted to have joining us in testimony representatives from VCU and Marquette University and others here who are in similar positions. We do not feel that any domestic priority is greater than the cities. We find all the pressing issues of the 21st century, as I mentioned, both infrastructure and education in the cities.

Congressman Erdreich, we are delighted to have you back in your hometown to discuss these bills. Congressman Harris, we are very pleased to have you present. And with these general remarks, I will be ready to answer any questions you might have.

[The prepared statement of Dr. Sibley can be found in the appendix.]

Chairman ERDREICH. Thank you both for your statements, and I appreciate your participation.

Let me ask, William Bell, you said that JTPA money had been used, as an example of some Federal funding that had been allocated between our local job training effort and the university. Has there been a use of any other Federal funds like CDBG to help put together some of these important university/city projects?

Mr. BELL. There has been usage of some block grant development funds, for example, in the development of infrastructure over here at the university. The city of Birmingham has committed several millions of dollars to redo various roads and streets that come into the university. We feel that that assists the university in carrying out its mission, both for growth and development as well as educating the general public. So we have used some of those funds for that purpose.

In speaking of Federal funds in general, I think the relationship between the city and UAB has grown stronger due to the lack of availability of many funds. We have had to try to find alternative ways of accomplishing things that in the past we were able to do simply because there was enough funds available. But because of the dwindling funds, we have had to come up with more creative ways of solving those problems that face each institution.

Chairman ERDREICH. And obviously, I think what impresses everybody, we have got this terrific resource in the midst of our community, how can we make better use of it for broader community purposes. And, of course, Dr. Sibley, obviously the primary role of the university is education and teaching and training, but again, with that resource in our community, I am excited about what you have already described in both your written and oral testimony and William Bell's as well, of the ability to indeed make use of what is already here to the benefit of the broader community, whether it is jobs or health care or education or training.

Just take the small amount that could come from what I would look on as seed money, Dr. Sibley, for the urban schools, the actual development grant. If you were to obtain a grant tomorrow, to what purpose would the university put that? Are there specific programs that you would like to pursue, projects between you and the city?

Dr. SIBLEY. No, there are some specifics. We have a number of programs if we could find the funds for them, and I think the funds will be forthcoming from several different areas.

One program we would very much like to pursue is that of interactive television. It is now possible to send a television signal over a regular telephone line, copper wire line, with VCR quality. You do not have to move to a satellite, an up link/down link system, to be able to do this with great quality. Also there is an advantage in that there is a face-to-face communication, it is voice activated so the student talks directly to the faculty member and the faculty

member talks directly to the students. In this area there are certain needs in the Birmingham School District in terms of languages, in terms of advanced chemistry, advanced placement type programs, that I believe UAB can be extremely helpful. And as we link into these, these are some of the communication areas that will exist.

The other areas, of course, even within the community colleges, we will have faculty-to-faculty conversations as we link up with these interactive communication means.

Another one, which is perhaps a little cheaper and one that we hope to get on line sooner, will be one in which Dr. Cleveland Hammonds and I have discussed the possibility of computer-aided tutoring in mathematics. In my physics class, I notice that they do not have as much trouble with physics, as freshmen and sophomores, as they do with mathematics. Mathematics slows down their ability to really handle the physics. And one of the things we need, despite the fact that we have a large tutorial face-to-face group here at UAB, is the ability for them to call in from the dormitories, from the K through 12 school system, or from their home if they have a modem and be able to query a computer and get tutorial help on the computer and we can follow up then with real live bodies to try and help them.

So there are a number of areas in communication and tutoring and education that we can do joint programs. There are many other areas as well.

Chairman ERDREICH. Councilman Bell, do you have a wish list as well? Are there others beyond what Dr. Sibley has mentioned that you would like to see the city and the university engage in as a joint partnership effort?

Mr. BELL. Well, let me just share with you a particular program that I am working on in my capacity as council member for my district, along with Dr. Jim Hilliard, who is here at the university.

Several years ago, Mr. Joe Bruno donated a building to the city and to the community of Smithfield. The city of Birmingham has redeveloped that building and put it in first class condition. We have also been able to get funds to put physical fitness equipment inside the facility. Dr. Hilliard has been charged with the responsibility of developing funding from the Centers for Disease Control out of Atlanta, that would enable us to work with the residents of the Smithfield community to get them involved in a physical education program as well as health-related programs through this center. If we can make this a successful pilot program, it is our hope to spread this type of facility throughout the community. Only because we have the University of Alabama here in Birmingham with this expertise in health-related fields, are we even able to put together a team to make application for such a grant. And perhaps at some point in time when we get all the pieces together, we will be coming to your office as well as other offices to share with them what we have and what we would like to see developed. But that is how we can do things on a small level as well as a grand scale of making this city move forward with the university's help.

Chairman ERDREICH. Thank you.

Congressman Harris, do you have any questions to ask?

Mr. HARRIS. I guess just a comment. This is a very exciting concept, especially in the times we are experiencing today. We do not have the money coming out of Washington that we used to and are having to look at innovative ways to do things. The partnerships that are being created between the universities, and the community and business is something that I think we have got to continue to develop and pursue.

Ben and I have worked on legislation, just as another example to show you what you can do—our foundry industry, for instance, in a lot of ways is in trouble, not been able to compete. And Ben and I have pushed legislation which has passed and we have got appropriations this time, that sets up a partnership between the universities, the industry chips in money and it is a way to keep them competitive. Not only to have centers—we will have four in the United States, hopefully one of them will be in Alabama, that we can get this information and then pass it on to our industries out there.

You mentioned a program of putting information over the wire to the schools. We have a program now, the STAR School Program, and it is exciting for me to walk into Choctaw County High School, for instance, and see kids that are taking Japanese over a satellite dish from the university.

I had the opportunity the other morning to go to a meeting in, I am on the Sun Belt Task Force, dealing with work place literacy and there are some things there that I think we can be doing to—I know one of the areas that came to mind was the fact of how do we help small business in this problem. And it is a problem in so many areas. The Under Secretary—and I cannot recall his name now—was CEO of Xerox, that is heading up this program. And I think it is something else that we can be looking at, not only from UAB but other schools to work with the Department of Education to—the Secretary told us about one little business, that the employees were surprised when they went to the meeting at night to see how many fellow employees in there also could not read and write.

And so I look forward to working with you. As I said, I think it is exciting, this is a way that we are going to have to go so that we can have full partnerships. We have so much expertise in our universities. We just had a project announced in Tuscaloosa at the VA Hospital about a $50 million project, and part of that will be technology that was developed there at the University of Alabama for the air conditioning, where they use these deep well aquifers. It is an interesting concept where in the wintertime, they send the cold water down into the ground and in the summertime they put it up and run it through and that is used to cool, and it just goes through the process like that. And so—it was hard to get some of the bureaucrats in the Veterans' Administration to agree to even try this, but you know, I think it holds a great prospect for all of us and certainly if we can get the word out.

So let us work together, that is what we have got to do. I thank you both for your testimony, it is certainly very helpful.

Dr. SIBLEY. Mr. Chairman, if I could make one last comment on that.

Chairman ERDREICH. Certainly, by all means.

Dr. SIBLEY. The STAR Schools Program and the Macy School Program at Tuscaloosa are just excellent programs. Maxine Blice, who I know from Washington, has been very impressed with that and she is also very impressed with some of the things that happen in the teamwork between UAB and Birmingham, and it appears that there will be a team effort between Macy or the new organization which she is heading, and the National Science Foundation, UAB, and UA to work in this area. I know the schoolchildren in this State have benefited greatly from that program.

Mr. HARRIS. Thank you for mentioning the Macy Program, I had forgotten about that. But I know in some of our counties, the turnaround has just been remarkable, the kids, as far as what they have been able to as far as science and math is concerned.

Thank you again.

Chairman ERDREICH. To complete the record, let me put, without objection, a copy of a *Reader's Digest* article that Congressman Harris mentioned, the article "University Saved a Factory", that is December 1984. And there were two *New York Times* articles of this August 1991. One that focused on Marquette entitled "Coming Down from the Ivory Tower", about their involvement in the community, which is a pretty good headline. And the second that focused on UAB was "Universities Become Full Partners to Cities South". And it just gives you an example of the recognition, I think correct recognition, that these urban universities are gaining. But beyond recognition, I would like to see more programs and projects of joint benefit to our communities.

Thank you both for your testimony, it was excellent. Thank you, Councilman Bell and you, Dr. Sibley.

We will now set up our second panel. If Tennant McWilliams, who is the dean of the School of Social and Behavioral Sciences and also acting director of the Center for Urban Affairs at UAB will come forward. Kenneth Roozen, vice president for research and university affairs at the University of Alabama at Birmingham. Mike Dobbins, director of the Department of Urban Planning, city of Birmingham. And the superintendent, Cleve Hammonds, is going to join us just in a few minutes but I think we can start with your statements, it might just fit perfectly, he is due around 10 on his schedule.

Why do we not go first with Tennant McWilliams. Tennant, to the extent we have got your written statement, it will be part of the record without objection and if you would proceed with your oral statement, and we appreciate being here and all the help you have given us in setting up the hearing itself. Thank you, Tennant.

[The material referred to can be found in the appendix.]

STATEMENT OF DR. TENNANT McWILLIAMS, DEAN, SCHOOL OF SOCIAL AND BEHAVIORAL SCIENCES, AND ACTING DIRECTOR, CENTER FOR URBAN AFFAIRS, UNIVERSITY OF ALABAMA AT BIRMINGHAM

Dr. MCWILLIAMS. Thank you, Mr. Erdreich. We are organized here, I believe, so that I will address some of the educational components of our city/university relationship; Dr. Roozen will address the economic aspects of it; and Mr. Dobbins will address the plan-

ning aspects of it. And obviously there will be an overlap between those three elements in the presentation.

The hearings we have this morning, I believe, are most appropriate in view of the fact that the former president of UAB, S. Richardson Hill, and the president before him, Dr. Joe Volker, were, of course, very instrumental in the early development of what later became the Urban Grant Act and many of those hearings—at least one key hearing—occurred here in the city of Birmingham back in the early 1970's. It is exciting to see the momentum for this type of endeavor undergoing serious rejuvenation as indicated by these hearings and by the conference activity that occurred last week regarding the Urban Grant Act.

The relationship between the city and the university, as we find represented here at UAB, shows above all else the combining, collaborative or in fact pooling possibilities that can occur between a university, a private sector urban business element, a city government, and an urban citizenship. And we feel that in this time of restricted resources, the collaborative opportunities that this type of environment permits may well set a new tone, a new pattern for assisting city growth as well as that key thing behind virtually all types of social and economic growth, education.

I call your attention to several concrete episodes or developments that reflect this pooling or collaborative endeavor and certainly emphasize that with more congressional support for this type of activity, even much more can be accomplished.

As Mr. Bell indicated, and as Dr. Sibley indicated, UAB and the city of Birmingham are quite proud of the relationship that exists over the Titusville project. In this project you find a whole range of university faculty and staff working very closely with the city of Birmingham School System administration and the local administration of Washington School and community leaders in the Titusville area. In other words, all of those components are involved in a project to improve the quality of life in Titusville, for the benefit of the people in Titusville as well as for a prototype that perhaps could be developed in other sections of the Nation and certainly other sections of the city.

Certainly health is a focal point for the Titusville project. We are vitally interested in assessing the health and health education components of life in the Titusville community. We are also interested in assessing the learning skills and educational opportunities that these important citizens have, and we hope that over the next year or 2 years some dramatic results will come out of this project.

I doubt that you could find a better example of the uniting of service and research than our university's effort to interact effectively with the city. We clearly feel that this university is one with this city, and the Titusville project is illustrative of that spirit and that concrete commitment.

In addition, I draw your attention to what is now known as the Oxmoor project, located south—roughly southwest—of where we are now. The city of Birmingham is working closely with the University of Alabama at Birmingham to develop a research park that will include everything from high tech research, both private sector and public sector, to educational activities. One of the most fascinating components of this will be the Oxmoor Eduçation

Center, which will hopefully be a landmark development of collaborative efforts between a city and a university. This will not be a laboratory school, nor will it be an experimental school. It will be something that has never been accomplished, we feel, anywhere in the United States. It will be a neighborhood school developed in a research park jointly by a university and a city, where the family homes are connected through high technology with the school. This may well set a pattern for development of one component of public K through 12 education in the United States. We are not more than 2 years away from seeing that project as a reality.

Surrounding that school will be a neighborhood and research offices, research park, where we hope to make a major addition to the economy of the city relative, attracting new businesses and uniting these science and economic components. UAB and the rest of the economic elements of Birmingham are moving rapidly toward developing an economy that has a broad base, a broad economic base and high tech base, and the Oxmoor project should move that effort along dramatically.

UAB also is working closely with the city of Birmingham in the development of a civil rights museum. Obviously a very important element in the history of this city is the civil rights movement, and the UAB Center for Urban Affairs has played a leadership role in the development of this museum. I understand that we are about 1½ years out from the completion of that project, that is, the actual appearance of a civil rights museum on our landscape. But we are delighted to have played a leadership role there.

Also the Center for Urban Affairs at UAB is working in a very committed way to increase leadership and networking abilities within neighborhoods in the city of Birmingham through some of the CDBG money that was referred to earlier. We have had a project going on in West End and this really is designed to develop more community leaders, to help community leaders look at everything from planning to education possibilities. If you get a chance to take a look at West End, I think you will find the progress there, in terms of the individuals understanding their communities more effectively, really moving forward.

Obviously, UAB is well known in the field of science education, and you will see in our commitment to the urban scene a unique blending of science and urban, if you will, through extramural funding that is truly of national significance, if not international significance. The funding derives from agencies such as the National Science Foundation, the National Institutes for Health as well as private foundations such as the Coca Cola Foundation. UAB has worked closely with the Birmingham city schools and the Jefferson County schools to provide seminars in the summer as well as during the regular academic year for both teachers of science and students—K through 12 students—of science. I can give you more details on this later if you would like.

Dr. Terry Hickey is in the room, and he has been very instrumental in development of many of these projects. We are delighted to have inner city students as well as kids who are not in the inner city, but part of the metropolitan Birmingham area, on our campus throughout the year also in the summer learning new skills in science and science education.

In addition, there are several faculty initiatives that show the relationship between the city and the university, which I think are very important. Members of our sociology faculty, particularly Doctors Ferris Richey, Mark LaGory, and Kevin Fitzpatrick, who have done major nationally recognized research and service in the area of homelessness—you may have seen this written up in *USA Today* and other places—with very little financial support. These scholars, working with students, some of whom are students from the metropolitan Birmingham area, did path-breaking research on what is the homeless person, what type of person becomes homeless and what are the possible solutions to homelessness in America. We are quite proud of these scholars. It shows you the relationship that can exist between an urban university faculty and the social fabric of a city. Social issues that face modern America are really part of the laboratory that the urban university faculty member works with so effectively.

As Dr. Sibley mentioned, recently we received the news that Doctor Sharon and Craig Ramey, our new directors of the Civitan International Research Center, were awarded an $8 million grant from Health and Human Services to evaluate the 32 sites of the Head Start Program. We are delighted that that award came here and feel that these faculty who came to Birmingham from the University of North Carolina at Chapel Hill several years ago will provide national leadership, in this case not just for Head Start activities in Birmingham, but for the Head Start activities all across America.

Along other lines, over the past 2 years the University of Alabama at Birmingham has implemented some new minors, academic minors—that is, academic programs—in environmental studies. There is a minor in environmental studies in natural sciences and mathematics, one in civil engineering, and one in social sciences. In each case, the environmental studies programs include a component for the urban scene. Please remember that a large portion of the students who come to UAB are from the metropolitan Birmingham area, and through such programs they have an opportunity to study ways in which they can improve the environment from which they come, and with their education they will ultimately go back and solve problems in the society.

We have within the university some very strong programs in geriatrics and gerontology. Many of our faculty are funded through U.S. Government granting agencies as well as private foundations to develop new research, teaching, and service activities in the general field of growing old. There is a strong urban dimension to this because, of course, over the next 30 to 40 years, large portions of urban America will be filled with people who are over 65. And we are proud of the fact that we are recognized by these funding agencies to do this research.

The University of Alabama at Birmingham, finally, is in the process of planning a project which I think the U.S. Congress will be vitally interested in. Through the Council on Teacher Education, which is a combination of faculty from the arts and sciences as well as from the School of Education and from the Medical Center, we are planning a program to train teachers, both in-service and preservice teachers, for work in the urban scene. The city

of Birmingham School System under the leadership of Dr. Cleveland Hammonds has been cooperating—more than cooperating, has been playing a major leadership role in developing this project. And hopefully in the next year, we will be in a position to offer both short courses for current teachers as well as a track for people who would be public school teachers, to make them more attuned to the dynamics of city life and to have a broader vision of the future of the city. Whether we are talking about a person that teaches at the third grade level or a person who teaches at the 9th or the 12th grade levels, because more and more Americans live in urban areas, public school teachers need to have a more sophisticated understanding of urban life. This urban teacher project could provide a model for the rest of the United States.

I will be happy to respond to any questions. And, of course, at the table with me are individuals who can address other aspects of what we are doing.

Chairman ERDREICH. OK, thank you, Dr. McWilliams. We will hold our questions until we have statements from all the panelists.

We will now hear from Dr. Roozen, vice president for research and university affairs. Dr. Roozen, thank you.

STATEMENT OF DR. KENNETH ROOZEN, VICE PRESIDENT FOR RESEARCH AND UNIVERSITY AFFAIRS, UNIVERSITY OF ALABAMA AT BIRMINGHAM

Dr. ROOZEN. Congressmen and distinguished guests and colleagues, it is an honor and a pleasure to appear before you today. I, for one, want to thank you for your willingness to get our perspective on the role of urban universities in attacking some of the critical issues that confront our society.

As you have already heard, UAB itself is a huge economic force. Our $750 million a year budget creates an overall economic impact in this city of greater than $1.5 billion.

The focal point of my remarks, however, will be on the less traditional role of urban universities; that is, the role of urban universities in new business development. I believe it is critical that we focus on this matter today for two important reasons. First, legislative and national leaders, as well as the Bush administration, have repeatedly emphasized the need for a better trained work force, a stronger research infrastructure, financial and regulatory policies which favor investment in new technology, and although there are others, an environment which facilitates the movement of new discoveries and inventions quickly and effectively from the laboratory to the marketplace.

At the root of these expressed needs, of course, is the fact that our leadership in innovation and technology is diminishing and we are therefore slipping in today's increasingly competitive global economy.

The second important reason to examine this issue follows from the first. It is because this country is becoming more and more urban and many, if not all, of our urban areas are in serious need of assistance and new sources of jobs and revenue. Thus, any comprehensive national economic development program must include the cities. The cities are where the people are, both young and old,

who need enhanced vocational and professional preparation and jobs. Cities are generally the financial centers and therefore the home of individuals and corporations with the potential to make financial investments in high tech research and development. Cities are generally the location of relevant industry; that is, the locus of companies which actually carry out such research and development activities.

And last, cities are also the home of the majority of major research universities in this country. Of the approximately $8.5 billion in Federal R&D funds that were awarded in 1989, greater than 60 percent went to the top 50 research universities. Thirty of the top 50 research universities are located in urban environments and therefore urban universities are well positioned to interact daily with the necessary private sector elements, both business and financial that can result in expanded economic development.

The main point I wish to make in my remarks today, gentlemen, is that the urban universities as described earlier, are positioned to assist this country both with respect to technology and international competitiveness, as well as with improving the quality of life for all Americans.

Of historical interest to me is the fact that urban universities are positioned to address contemporary problems and issues in a manner similar to those universities that became land grant institutions in the 1860's when Congress saw fit to pass the Moral Act in 1862 and later in 1887 the Hatch Act which created agriculture research stations. I might point out that the agricultural research stations, to this day, still receive hundreds of millions of Federal dollars annually.

You have already heard something about UAB's activities to address educational, health, and social issues in the urban environment. Let me focus specifically on several of our activities which are directly related to economic development.

UAB has created a special foundation. The foundation is charged with responsibility to identify, evaluate and, in appropriate circumstances, protect and market university-based technology. UAB receives just over $100 million a year in extramural support. Approximately $10 million of this money is direct work for individuals in the private sector. The other $90 million comes from the Federal Government and is the source of approximately 50 to 100 inventions and discoveries per year. Some 25 to 50 percent of these inventions and discoveries will be protected and about half of these will ultimately be licensed.

In the past 4 years, UAB has entered into more than 60 license agreements with companies in the private sector, 13 of these involve local companies and in fact, in several cases, provide the entire basis for the creation of those companies. Such licenses, of course, have translated into jobs, investment and taxes in this community and elsewhere in the country. In the past year, for example, more than $5 million has been invested in local companies which are the direct result of university technology. Although many of our licensees are embryonic and not yet selling products, knowing our royalty income and knowing our royalty rates, we can estimate that somewhere in the neighborhood of $25–$30 million in

sales are occurring somewhere in this country as a result of technology developed recently at UAB.

We therefore believe, as most universities, that there is more valuable technology which can be found, and we need better mechanisms to identify and move closer to application.

When a university or any other inventor has new technology or innovative ideas, there is an alternative to licensing to existing industry, and that is to start a new company. Starting a new company is a demanding task. It requires not only technology but other expertise and elements including investment, business plan, management, marketing, and so forth, certainly a tortuous journey for a university faculty member. Thus we, as others, have created an incubator facility. This facility was built primarily with borrowed funds, it contains laboratory and office space, provides low rental rates and business assistance to entrepreneurs and startup companies. During the past 5 years, our incubator, which is approximately 35,000 square feet, has been the starting point for 27 companies. Approximately one-third of these are from university technology, two-thirds from entrepreneurs outside the university. Six companies have graduated, which now employ approximately 100 employees and the dozen tenants in the current incubator facility employ 105.

We have done an economic impact assessment of those new companies and based on operating budgets in 1991 of approximately $10 million, the overall economic impact of these new companies in the Birmingham community will exceed $35 million.

Let me point out that there is a second incubator in the Birmingham community. Our incubator focuses primarily on high tech businesses. The other incubator, which is cosponsored by the city of Birmingham, has been the home of 17 new company starts, which are primarily focused in the service and distribution industries.

On the basis of these local experiences, mainly showing that UAB technology is of interest to the private sector and can result in commercial application, and second that Birmingham can be a fertile ground for new business starts, we are now discussing with the city of Birmingham, as you have already heard, the establishment of a research park. The research park would include expanded and incubator-like facilities with staff to assist entrepreneurs as well as small buildings for those companies that have reached a point where they require individual identity.

We are also discussing with community leaders the formation of a venture capital fund to provide investments in early stage companies. Why? Because traditional venture capitalists are at this point in time making later stage investments and we have observed that one of the most critical steps in the development of new technology and new business in our community is the lack of access to early stage venture capital. This probably would not be the case in California or Massachusetts, but for all practical purposes elsewhere in the country, I think the situation is the same.

Let me quickly close then with a strong recommendation that future banking, finance, and urban affairs legislation recognize the potential of urban universities to assist in economic development as well as the solution of educational and social problems. I would ask that you further recognize universities throughout the United

States like UAB are facing more and more difficult fiscal problems. In the face of such problems, it is difficult to be involved in anything other than our primary purpose, education. And therefore, it is essential that we find supplementary support if we are going to continue our involvement in community as well as economic development programs.

Legislation which assists universities directly through financial support or legislation which encourages others, through matching funds or tax credits, to support the involvement of urban universities in enhancing the development and movement of the technology to the private sector will create new jobs, new taxes, and pay handsome dividends.

How might such funds be spent?

To support the development of applied research centers that are consistent with regional needs. In the case or Birmingham, this might be in biotechnology, biomedical device manufacturing, materials, and telecommunications.

To support programs that result in the identification of new technology, both within and without the university, its appropriate business evaluation, intellectual property protection and marketing.

Funds which would assist in site planning, site selection, planning and the early development of research park and incubator-like facilities.

Legislation to encourage higher risk early stage investment would also be welcome.

And finally, programs which increase interactions between universities and the private sector.

Thank you for this opportunity to speak on behalf of the role of urban universities in economic development.

Chairman ERDREICH. Thank you very much, Dr. Roozen, that was excellent.

Next we will hear from my college classmate, Mike Dobbins. Mike, welcome, appreciate you being here as director of the Department of Urban Planning. You may proceed as you wish with your oral statement.

STATEMENT OF MICHAEL DOBBINS, DIRECTOR OF URBAN PLANNING, CITY OF BIRMINGHAM

Mr. DOBBINS. Thank you, Congressman. I am very happy to have the opportunity to address the subcommittee and to testify on behalf of the city and the planning program that we have been developing.

One of the great values of a hearing like this is it is, I think, the opportunity for all of us to hear each other. I deal with each of these folks on particular projects, but to hear it all at once is very valuable and it is a way of better understanding what we are doing and synthesizing our efforts. So the very holding of it, I think is positive.

Partnership, which is what I am going to be really talking about this morning, has been the cornerstone of Mayor Arrington's philosophy and strategy for administering city business, now into his fourth term. We have a motto down at City Hall that hangs out

over the city council chambers that says "The people are the city". And in the end, what works in the city is decided by the people where it is happening; the communities, the schools, the work force, businesses, places of employment, the cultural facilities, and then the city as a whole. These processes intrinsically call for partnership approaches.

We have built partnerships at all levels for a wide range of purposes over this length of time that the mayor has been in office and even before. With neighborhoods we have partnerships that have resulted in what has become a national model for grassroots citizen participation. With businesses, we have had a wide range of projects where we have mutual interests that are served by partnership relationships. With merchants, we have formed partnerships to revitalize older commercial areas as well as parts of downtown and in fact the downtown as a whole. We have worked with industry and labor on a very active current strategy which I was happy to hear Dr. Sibley mention as well as others, to reindustrialize the city, to recapture some of the jobs that we lost in steel. We have actually gained back about 10,000 of the 20,000 that we lost over the last 12 years. And also with the universities—I am going to get into that a little bit later in more detail.

And the other area of partnership that is vital to us is performing and maintaining partnerships with other organs of local and State government as well as the Federal Government, different agencies in the Federal Government.

We continue to seek these partnerships even with those who resist for whatever reason trying to find common cause. And the reason we do this is because we have found that sharing is really the key to our survival in the city. Finding the overlap—and this is a vital part of our process—we have found that where we can get people to the table, that we are bound to find something we can agree on, or somewhere where our interests and our concerns overlap. This provides the kernel for building solutions and finding ways where each of the partners in the partnership can make their own particular contribution toward making things better instead of worse. We are dedicated to this approach in the city of Birmingham.

The need, the quest for this partnership has reached a new urgency over the last several years because of what we see as the Federal abandonment of cities over this past 10 or so years. The abandonment is not just in funding and program withdrawals that we have all experienced, but is also philosophical, I think.

As I see it, the politics of majority rule have begun to negatively affect cities—and I share Ken's definition of cities as metropolitan, and I appreciate that because I think that is important. The politics of majority rule are reflecting that the urban vote, the inner city urban vote, has lost its power both in numbers and I think in campaign financing potential. What does this mean and what are we doing about it?

In the political climate of these times, I think it means that divisiveness, polarization, probably born of parochial interests vying for a place in the sun of the favored majority, is what is happening. There is an undercurrent of division, splitting groups whose broader common interests ought to, but do not seem to, override their

narrow in-fighting instincts. We have to do things about this, we have to respond to this sort of drift that is tending to constantly fragment us in the metropolitan area. And we are doing that.

We seem to lack, at the Federal level, an ideology for the whole people. But I think an ideology that we do share with the universities, certainly one that we have charged ourselves with, is to look for solutions that address the whole population of our city. And the mayor has been very active in soliciting and eliciting and making himself available to metropolitan sharing as well.

Partnership is a vital tactic in trying to overcome the divisiveness and polarization that we experience in this metro area. I think we are actually better off than most metro areas around the country in this respect, as I travel around.

And, of course, as a planner, I have to develop premises and scenarios on which to base how to look forward 10 years from now, 20 years from now, and come up with policy recommendations to the mayor and council and community at large on which to develop plans and programs. Some of the premises on which I have based our more optimistic scenarios are running countercurrent to the current drift, present drift, of Federal policy. One of the things that other speakers have mentioned that I think is really vital, is that cities really are and always have been, a place for everybody: rich, poor, black, white, old, young, whatever groups. Cities, when they are functioning properly are the common ground, they are the place where people come together to carry on business, live, recreate and share with each other, come to understand each other.

The fragmentation and disintegration that I have mentioned is something that I reject as a premise to looking forward to the next 10 or 15 or 20 years. Rather, the city is an integral part of the metro area, and on behalf of the city we really must, for our survival, seek cooperative, inclusive and unifying approaches to solving problems that defy parochial division. To try to overcome the resistance to sharing, resistance to partnership, I speak from time to time to groups about the idea of change. Change constantly is occurring and you really have two choices in dealing with change. You either can resist it and try to make things go back or to restrain things, or you can positively embrace it and look for the positives that are unifying out of change. Because if there is a constant in the planning process, it is change. Planners are people who have made a lot of mistakes in the past and probably are making a lot of mistakes now and will in the future, but they are constantly grappling with change; what is it going to be, what is it likely to be like, and what kinds of things can we do now to begin to positively embrace change.

And for me, it is not thinkable 10 years from now in Birmingham or the Birmingham metro area or the State or other cities to premise our planning on the idea that we are going to be more divided racially, age, rich and poor. Rather, we have to find ways to come together.

So back to partnerships, it is absolutely vital that we form these partnerships. We have to do that in order to carry on the continuous process of building and rebuilding the urban fabric as a mosaic of inclusiveness, tolerance, and enrichment of the quality of life for all our people.

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The university and city relationship has got to be a strong one, and I think there are a couple of things that we share. One is that we really do function for the whole population. There are other parochial interests that have special interest agendas which are not really concerned about the whole population, but the university is and city government is.

That strong leg of sharing that we hold together, I think, is a basis on which we can forge future partnerships and we have talked about some in the past. I think it is very timely for the Congress—and I really appreciate your leadership to advance this concept of hooking up the university and the city. It seems to me that the counterpart to the land grant university and rural and agricultural interests ought to be a relationship between city and urban universities.

With that, I would like to mention some of the areas in which the city is working closely and directly with universities, particularly UAB, which is not only the largest employer in the city but also the State, and which we are very, very pleased is located in the city center of Birmingham. Lots of the urban universities that Ken mentioned, of the 30 to 50 that are getting the large grants, are in urban areas, but they are not necessarily committed to the city center. And it is very important for our city government that the university has made and expanded on and continues to enrich its commitment to participate with us in rebuilding the city center. In fact, Dr. McCallum chaired the coordinating committee to develop the new city center master plan, played a very active leadership role, and was very dynamic in determining what kinds of emphases we should be placing to keep the city center strong. He will be presenting that to the city council tomorrow morning as the city council considers adopting the new city center master plan.

There are several specific things that the university has hooked up with us on in promoting the city center master plan. There was mention made of the Health Services Foundation but another area that the university and the city share that is vitally important to making the city center strong and putting it in the position to leverage the kind of private and institutional investments that will keep the city center strong, is upgrading the quality of the streets and transportation. The university has presently under construction the University Boulevard project, which is to beautify the entrance to the university from I–65 all the way across to Red Mountain Expressway. That work is under construction with support from the city. The university has supported the city in the development of 20th Street south from Birmingham Green to Five Points South. Some of that work is under construction now, as witnessed by the sidewalk under construction in front of the Health Services Foundation headquarters.

Congressman Erdreich asked where some more fruitful avenues might be for investing Federal funds to support urban university activities. One candidate in that regard particularly that the city and Dr. McCallum and the university share is the enhancement of transit as a method of connecting the civic center, which in our city is at the north end of town, of the city center, with Five Points South, which is our entertainment area to the south, with the university sort of in the middle of that.

We also have in this partnership looking for transit solutions the Alabama Power Co. I think there is a very fruitful opportunity to look for research or development, programming funds that could work with our Birmingham/Jefferson Transit Authority, city of Birmingham, UAB in the city center planning process. That is one area.

Another area that is currently going on with the university that some mention has been made to, which does have linkage between community development block grant funding, is the Woodlawn and West End neighborhood community revitalization programs with the Center for Urban Affairs at the university. The city has committed community development block grant funds over the last 3 or 4 years to support entire neighborhoods in their ability to produce, maintain, and rehabilitate housing as well as some of the other vital anchors of these older communities. One, in fact that is again on the city council agenda tomorrow that is really galvanized by the city and the University Center for Urban Affairs is the West End part of Birmingham and the specific action that will be taken is the declaration of an urban renewal area that will allow a neighborhood based development corporation to do housing development activity in the West End part of Birmingham.

Other things that the university has done continuously for several years is carrying on business satisfaction surveys where we find out what businesses in Birmingham are finding that works and what does not work, trying to use the vehicle of the university's research capability to help guide us into making decisions that make business easier, pleasanter, or less a bureaucracy than it might be otherwise.

Data sharing is something we have done with UAB for years and continue to do. Census and all the data that flow therefrom. The university has traditionally helped training—I mentioned earlier the citizen participation program that the city has developed. The university has helped us in many ways with that, not the least of which has been to train neighborhood leaders. Every 2 years we have elections of officers for all our neighborhoods and you cannot live in Birmingham without being a neighborhood. And these training sessions for new officers and old officers have often been conducted by staff of the Center for Urban Affairs in conjunction with city staff. And that is very important.

The midtown area of Birmingham, which is the area between the university and the corporate and banking core of the city along 20th Street is another one that we are finding partnership ways to share in. The city has supported the development of an essentially private initiative to build new housing, which is right downtown in between the downtown core of the city and the university. That is under construction now too with the full support of the university and I think there are more avenues in developing residential support for the city center that we are continuing to explore with the university.

The Oxmoor area has been mentioned and I really will not go into that in any more detail. I think it is a subject in and of itself, but it is an extremely exciting event which I will just summarize by saying that 5 years ago if people said we were going to do something in Oxmoor, they said "Oxmoor, what is that? That is out at

the end of nowhere, nothing is going to happen there." Whereas now, Oxmoor, even in the minds of the community at large, has developed a certain magic and presence as a place where a new urban development, urban growth, and opportunity is really unfolding as we speak.

I would mention a couple of other things. It is not just UAB, although I do not know that I can say that in this room, that we cooperate with. Samford University has become the home of the vendor for the city's and soon to be the county's and BellSouth's and the power company's geographic based information system. We are beginning to see linkages and unifying the fact the university, UAB, has also adopted that same system for keeping track of all of its geographic based information.

Samford is also the home for the Public Affairs Research Council of Alabama, which is a research group that is working with another university, Birmingham Southern, and the city to explore this cooperation with local government theme that I was talking about earlier—how can we find things where our fellow local governments and county governments can identify problems that need solving and develop solutions to them. Birmingham Southern also is involved with us to some extent in market research and surveying activity.

Auburn University, the last couple of years, has moved an outpost of their Architecture Department, set up a center for architecture and urban design which is right in the core of the city. It has worked with the city to elaborate the architectural, urban design, and planning aspects of various projects that are either thought about or proposed to the city. And that is a new one in the last couple of years, but a very promising opportunity for partnership.

Miles College, we have sort of shared, particularly with the law school. Some of the city judges and attorneys teach, and city staff have gone through that law school very successfully, and at least one passed the bar the first time. One of the people that used to work in my department managed to do that and continues to support Miles Law through faculty support activities.

Ken is passing me a note, or Tennant is, that Jefferson State also is involved with adult literacy and encouraging college attendance. In fact, Jeff State, Lawson State, and Bessemer Tech have been talking together about coming up with training the technicians that will be needed to fuel the economy and the industry that we anticipate happening in Oxmoor, as Ken's dynamism begins to produce the kind of development that we think is going to happen out there. It is very exciting.

Let me mention—Congressman Erdreich mentioned some things about where funds might go. I think that there is a great opportunity for environmental funding for some of our common issues in this, and I think it is a university and city common charge. Mayor Arrington has taken the initiative in the last year or so to try to get the other local governments to look at our Cahaba River, which is the water source for the city as well as a unique environmental asset for the region. That work is going on, there has been at least a tentative commitment on the part of all of the other jurisdictions, county and city, to support finding some kind of common set of regulations and agreements that we can use to apply to development

that would occur in the Cahaba watershed. That is an area that could be greatly supported by some injection of research type funds. Frankly, we are winging it now, we are trying to sort of back into a set of solutions that would—that we think we can agree on that would make things better, but it is a long way from solution.

There are a number of other environmental issues that could lend themselves to Federal support. The EPA has required storm water management plans from all jurisdictions throughout the country with no concomitant public, Federal support to help us develop those. Our first stage in that is due in November, the second stage a year from November. And this is another area that is very sensitive and could lend itself to some cross-disciplinary approaches instead of just taking care of how much water runs down hill, how it interfaces with environmental concerns. And there are a number of others in the environmental arena that I think could benefit.

The economic development links, I think Ken covered those very well. I support those 100 percent.

I mentioned briefly transportation. I think one of the things that Mayor Arrington has been trying to do is to take those places where the most people travel in this city, like the entrances off the interstates, or the most heavily trafficked streets, and make them attractive, make them look like front doors, like a place you would want to come to instead of back doors and back alleys, which is the way they look in most cities around the country, and still do here more than they should. Federal funds in fact can be made available for beautification, but they typically are not. There is a great resistance in the community of highway builders to the idea that getting off the interstate should be every bit as and maybe even more attractive than traveling along it. We think that is a very important place for initiative.

I mentioned the transit initiative. We need to have a transit approach to solving our transportation problems in this community. I had a conversation just 2 or 3 weeks ago with our State highway director, and for the first time I heard that there was really a serious thought that U.S. 280, which we are most familiar with, maybe will not be solved as a transportation problem without a serious transit component. That is an area that needs Federal support in order to achieve.

And the last thing I wanted to mention is that the housing initiatives that are beginning to come out of the Home Program through HUD and community building activities that the Center for Urban Affairs has been involved with, always need more funding. These are the areas of greatest need and least resource. And any area, from the range of research into new technologies, into regulatory approaches that support housing initiatives, to building local entirely community based organizations to produce and develop housing. All of the above are, I think, areas that should be explored for further Federal funding. I have not mentioned education because it is coming up.

Chairman ERDREICH. All right, Mike. Thank you very much. That was a very good run-down of what is going on from the city with the UAB. And as you probably know, the Urban University Grant Program indeed encourages a consortium of schools. It wants

to marry up a large university with smaller schools in the community. That is one of the concepts—to maximize resources again, and put everybody together that we can.

Dr. Hammonds, we appreciate you coming. I know your schedule was tight this morning. You have heard some of what has gone before you, it has been a good session, but again we appreciate you being here, of course, as Superintendent of Schools of the city of Birmingham and the involvement of the school system with UAB, and so we are glad to hear you and the floor is yours for a few moments. Thank you very much.

STATEMENT OF DR. CLEVELAND HAMMONDS, SUPERINTENDENT OF SCHOOLS, CITY OF BIRMINGHAM

Dr. HAMMONDS. Thank you, Congressman. Last week, I attended a meeting of the large city school superintendents. The people in that room represented 25 percent of all the students in this country and we were lamenting about the kind of understanding that we felt perhaps was lacking in the present administration and the fact there is such a great reservoir and great potential in all of these students as far as developing the work force of the future.

And it is with that in mind that I approach my few comments this morning, because it is the urban universities combining with the urban school systems that can search and explore and find new and effective ways of developing this great reservoir of talent that we will need in the future.

We know that health is one of the major problems that young people face in the great urban centers and Birmingham is no different. UAB and the Birmingham schools, as I am sure you have already heard, have started the Titusville project, that has emphasized health, using the school as the center but radiating out into the community looking at the total community and how it might impact on their youngsters' opportunity for a productive future.

We all know that we need leadership in the urban schools, so the BellSouth Foundation sent $250,000 as a challenge grant that UAB, combined with the school system, is trying to develop more effective way of identifying potential principals and then developing their skills so they can be effective leaders in the urban setting. We are starting that this fall.

In every instance where we have had a problem, the university has stepped forward and combined with us to seek solutions. I think that potential exists throughout this country and I think that it should be explored to its fullest. I am sure you heard about the school in Oxmoor Valley that the city, the university, and the school system combined together to come up with a state-of-the-art plan for developing a school in that area to attract and hold citizens there. That will be an exciting adventure for us and we are looking forward to it.

We need to prepare teachers for urban teaching and we are presently exploring with the university sources of revenue and income where we can put together a program that will be on the cutting edge of developing professional people to work in this setting.

Any improvement of the neighborhoods, whether we are talking about streets—any infrastructure improvement improves the

schools because that is the quality of life that those youngsters are exposed to, that is the kind of stimulant that they will have that will either be an asset or may be a drag on their developing their potential so that they can be productive citizens.

So I would encourage any kind of incentives that will assist and aid these kind of partnerships. And I know that I am preaching to the choir when I say to you that the cities are the new frontier, the source of great resources, and the source of our future work force.

Thank you.

Chairman ERDREICH. Thank you very much, Dr. Hammonds and thank you all. I thought your comments were excellent and will make a body of material that I certainly will peruse further and I think my colleagues in Congress will.

Tennant, did you have a comment before we open a few questions?

Dr. MCWILLIAMS. Congressman Erdreich, I would just like to follow up on a theme that Superintendent Hammonds concluded with.

Recently we have seen in American film some movies which depict both the reality and the romance of the American frontier in the period roughly 1850 to 1890. You may know I am a historian, historians always get "struck" about things—and I just got struck, and I would like to comment for just a moment on the city as a frontier.

We who sit before you—and there are many others all across America who work in the urban scene every day—are very much excited by the frontier of the American city. There possibly are some Americans who are frightened by this frontier, but remember that the frontier of the city that is sometimes perceived as problematic, is not nearly so problematic as the frontier of the American West in the 1880's and 1890's.

We made some errors in moving through that frontier: we made some errors regarding the indigenous populations, we made some errors regarding the environment. Certainly we will do our best never to make such errors again in American life. But there was also an energy and an excitement that really propelled this society forward as it moved through that frontier experience. And I urge you in the U.S. Congress, and other leaders in Washington, to think of the city the way Dr. Hammonds just defined it, as a frontier. There is energy. There are resources, particularly human resources there that, when acted upon are at least as dramatic, if not more dramatic, than someone crossing the Mississippi River or putting a foot on the Moon.

And this is in no way to suggest that the space movement is not significant. It is just that there may be a child in the sixth grade in an inner city school who has the mind to take the space movement on to its next generation but unless that talent has a chance to be acted upon, that innovation in life might not occur.

The second point. There are elements, very significant groups in American education today that have been working on the city as a frontier in a highly productive way. I draw your attention to the Urban Affairs Association, which you will hear from in a moment; and the Urban 13, a group of urban universities that have been working long, hard, and effectively with very little funds to im-

prove the quality of life for all Americans, particularly urban citizens; and the Urban Affairs Division of the National Association of State Universities and Land Grant Colleges under the excellent leadership of Mr. Nevin Brown. These groups and others have a lot of knowledge within them. And as we consider ways of providing more resources to draw on the talents of the city as the frontier, I hope that the people that have been associated with the Urban Affairs Association, Urban 13 and the Urban Affairs Division of the National Association of Urban Universities and Land Grant Colleges will be called upon for impact because that talent is there.

Chairman ERDREICH. I like your comments, Tennant, and I would say I agree with you. Part of what I have had my subcommittee, in its small part, focus on is looking at our urban communities, our cities—not just this hearing but we have held hearings on affordable housing, community development enhancement and looking at what really has to be a cross-disciplinary effort. And what we are doing here, the synergism I hope we can achieve from universities as a major part of our urban communities in being a better partner. They are already—the story I am hearing here, UAB is an excellent partner—but universities across America being strong partners for enhancing our communities is something we need to do more toward. And I know my colleague Claude Harris shares—in fact we were talking, just whispering a second ago, that if there is one thing that should be at the highest of our agenda in 1991 and 1992 is the plight of our cities, which our urban communities too often I think in the last decade have been underfunded and overlooked or a lack of funds necessary and a lack of commitment. We do need more of that.

Let me just ask you one—I have about 100 questions for you guys and our time is going to get away from us—just one example, and you may have mentioned it, Tennant, when you started out talking about a homeless study, which struck me as obviously a problem that is across America, an area that the university obviously got involved in. How was that initiated and what reaction to that report or what utilization of that report by the governmental officials took place, just in a capsule?

Dr. MCWILLIAMS. The initiative came from several individual faculty; in this case, they happened to be sociologists. It could have come from other groups, but sociology is particularly well suited as a discipline for studying issues of homelessness. It came from three faculty who saw the urban life around them as not only a possibility for a scholarly study, but more important, a scholarly study that had direct, immediate application to improving the quality of life in the city. In this case, these were three urban sociologists, individuals trained to observe and analyze the urban scene.

They concluded that the stereotype of the homeless person was false, that there were many people out there in the world of homelessness who are drop-outs from the middle and upper middle class, and that all sorts of intervention projects could work for these individuals as well as those who are from less fortunate socioeconomic backgrounds. The study was reported on in several national scholarly forums and it was also reported upon in the newspaper, *USA Today*.

There are no significant funds available to act on the conclusions that they found. In other words, they understood the problem and the city of Birmingham cooperated in a major way with their study. These people were doing studies all night every night in the middle of winter, and they found compassion on the part of city officials working very closely with the university faculty, but to my knowledge there are no adequate funds available to act on the conclusions that they found.

Chairman ERDREICH. OK. Mike, I wonder because the emergency fund that the McKinney Act which we passed several years ago provides emergency shelter, food, medical. This may be beyond that.

Dr. MCWILLIAMS. That is so—that is so.

Mr. DOBBINS. I might just comment briefly that one of the things that that study gave us—what we try to do in city government is to find something that works and build on that to try to make things better instead of worse. When we succeed in doing that, at the end of the week, we have had a great week.

One of the things that study got into was the development—and I think we have been very successful in the level and degree and breadth of community support for dealing with homelessness in this city. Dr. Michaels at Cooper-Green Hospital has been a very strong leader, there are a lot of other very strong leaders. Elise Penfield who is out at Birmingham Southern College runs an organization called PATH, which is Partnership Assistance to the Homeless. We have a comprehensive homelessness assistance program. The McKinney Act funds have been jointly managed through the Community Development Department of the city, the housing authority, and in fact have been very effective in at least stabilizing and moderating the—what was looking to be a rampant homelessness situation. Also, we have gotten a lot of outside grant support, particularly to the health care aspects of the homelessness program, in addition to the McKinney Act funds.

But the point I wanted to make is that we cannot deal with these problems without a constant circle of unifying the theory of it and the practice of it and letting those two arms inform each other in a dynamic and consistent way. In fact, it might be a good idea for Ferris to get back in touch—I think he has been in touch with us all along.

I think that, like a lot of cities, we have got lots of problems. This is one area I cannot say we have solved, but I do think that the McKinney Act funding has been vital in at least mitigating some of its worst aspects.

Chairman ERDREICH. Dr. Hammonds, there was a mention earlier of training for urban teachers. Is that something that is going on now between UAB and your school system?

Dr. HAMMONDS. We have a number of cooperative efforts. What we are trying to develop now is a new program that will look at the experience that successful urban teachers have and see if there is something we can transport into the academic scene and then prepare people to be more effective before they reach the classroom. So the answer to the question is no, we do not have it in practice yet, but we are writing proposals to try to implement that.

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Chairman ERDREICH. I have got some additional questions, but I am hogging the show here. Congressman Harris, do you have any questions? I may have a couple more after you have a round.

Mr. HARRIS. A couple of things. Dr. Roozen, you mentioned some legislation—and I was writing a note and I did not get it all—encouraging I think high risk investment. Could you tell us a little more about that? This is certainly one of the things that I am interested in also and your ideas.

Dr. ROOZEN. The principal point I was trying to make is that it is becoming increasingly difficult to find early stage seed money. The reason for this is, of course, the high risk. And the private venture capital pendulum tends to swing back and forth, and it will move toward making later stage investments, things that are less risky, more secure, and then will realize it is running out of investments to make because they did not invest in early stage and then the pendulum will swing back, so it goes back and forth.

I think, although a number of colleagues of mine would disagree, we have substantive amounts of money for basic research in this country. We could always use more and I suspect we could do a little more with it. The difficulty is moving something from the basic research observation to the point where it is of interest to venture capital people. Now the SBIR Programs, the Federal SBIR Programs, are focused on trying to bridge that gap but they are not as well funded as they might be. They do not allow a majority of funds to go to the universities during phase one. And so I think with some tinkering, that would be facilitated.

I think tax credits and other mechanisms that encourage investment might be useful in this regard and not force direct subsidy of these programs. A number of States which have tried to put in place these early stage seed funds have used that mechanism in order to encourage investment and have been quite successful. But to my knowledge, that has not been done at the Federal level. And, of course, as you know better than I, over the years there has been a tinkering with the tax credit for R&D carried out by major corporations, and that, of course, has an impact on the extent to which they invest in their own R&D or the R&D that is carried out in universities and ultimately leads to new products in their company.

Mr. HARRIS. I had the opportunity to visit the city of Chicago and see some things that they were doing. Mike, I do not know whether you have had a chance to look at some of the things that they have worked on in blighted areas there within the city. Of course, they are very supportive of enterprise zones and this was one way that they had—I was very impressed with what they had done. And in some areas where a lot of businesses had closed and whatever funding they could put together to encourage the plants to open and they had some bright shiny new faces in some areas that had just stood in disrepair for some time.

Mr. DOBBINS. We have been in touch with Chicago. In fact, one of the private sector initiatives in Chicago, a good friend of mine has been running that for some time.

One thing I did not mention about Birmingham is that the State does have an enterprise zone program and Birmingham does have a 10,000 acre area set aside for the State enterprise zone, which

has been actually quite active and has been an important part of the mayor's reindustrialization strategy. We have had about 25 to 30 businesses take advantage of the rather minor tax relief that locating or expanding in an enterprise zone in the city of Birmingham can afford, but still that is part of an overall picture that I think has been very important.

And the revitalization programs that you have seen in Chicago are—we have had some good intercommunication with Chicago folks and other cities, and we have 22 separate revitalization districts in the city of Birmingham, some of them, Five Points South being one of the early ones that did terrific, came from being about a third vacant 10 years ago to a real center for the metropolitan area. Others are not doing so well, partly because as the program developed, the Federal support funding for it just fell off the cliff, it really did. We built all that on CDBG funds and revenue sharing funds that have since been essentially withdrawn for those kinds of purposes.

Mr. HARRIS. I could not help but agree with you more that, as has been mentioned, certainly the pride of the cities and inner cities has got to be an issue that comes to the forefront, along with some other issues that I can think of, as being very important. And hopefully we are going to see some addressing by both parties in our upcoming Presidential campaign. I think that is going to be a very significant issue and it needs to be. We are seeing initiatives all around the world, but we need to see initiatives at home too in that we have people that need help.

Mr. DOBBINS. One of the disturbing demographics in the upcoming campaigns is that the suburban areas actually now somewhat, really considerably, overshadow the inner city areas in terms of voting strength. And that is one of the reasons that the mayor has been so intent on trying to build metropolitan relationships, so we can get the metro areas to think of themselves as cities instead of cities versus suburbs.

Mr. HARRIS. Well, I know the Oxmoor Program is something that we are all proud of, and I might just mention to you that I was born and raised in a big place called Shannon, AL, which is right there by Oxmoor, and that when we used to drive to town, we would come through there and I can remember a time when about the only thing you could see was a fellow growing some turnip greens. Of course, you do not see any turnip greens laying out there any more. But it has certainly been an exciting thing to watch.

You know, we talk about this partnership, and as I said, I am very excited about the concept and we can only look at the program that I mentioned that happened in Tuscaloosa in 1984 where the university got involved with General Motors and saved a plant down there. And you say well what can we point to, and here was an industry that put $7 million a year into the economy, 200 jobs, good jobs, jobs with benefits. But they had to come up with almost half a million dollars in savings to keep that plant in operation. And in 8 months time, the task force that involved the university, that involved General Motors, that involved the United Auto Workers, they had achieved that. And as part of the contract that was entered into, the university was getting $750,000 a year in

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scholarships from General Motors. So there are all kinds of benefits that can come out of this partnership, and I think that we have got to work to forge more partnerships and draw on the expertise that we have at our universities like UAB, University of Alabama at Tuscaloosa and others that you have mentioned.

I am excited and I just look forward to working with Congressman Erdreich and other people as we really develop and pursue this.

Chairman ERDREICH. Thank you, Congressman Harris, and thank you, panelists.

Thank you all for coming, I appreciate it very much.

Mr. DOBBINS. We will take the whole $8 million, Congressman. [Laughter.]

Chairman ERDREICH. Right.

We will welcome the third panel if they would assemble. Thank you, gentlemen, for being with us and I appreciate your patience in wrapping up the session.

Jim Harrison, president of the Association of Urban Universities; James Sankovitz, vice president for government affairs, Marquette; and Charles Ruch, provost and VP for government affairs at Virginia Commonwealth University.

Thank you all for being here. Your written statements, without objection, are made a part of our record, as you know. We will go forward with James Sankovitz of Marquette. Again, thank you for being here and if you, in the interest of time, would orally condense and rapidly tell us what I think also is a similar story that Marquette has that UAB has, we would appreciate hearing from you. Go ahead please.

STATEMENT OF JAMES SANKOVITZ, VICE PRESIDENT FOR GOVERNMENT AFFAIRS, MARQUETTE UNIVERSITY

Mr. SANKOVITZ. Thank you, Mr. Chairman, and also Congressman Harris.

Being a member of a third panel, it is always prudent to anticipate that what you were going to say has been said and resaid and tailored previously. So I will let the written testimony stand as context for a few other comments that I would like to say in very rapid fashion. The written testimony is written in the context of the Higher Education Act, now in the process of reauthorization, as you know. But I would like to speak more directly to some of the things that affect the nature and the jurisdiction of your subcommittee.

I would like to submit for the record as an addition to my written testimony, a letter from our mayor, who supports what is called the Marquette plan for revitalization, crime intervention, and community redevelopment.

Chairman ERDREICH. Without objection, it will be part of our record.

Mr. SANKOVITZ. Marquette University is an urban institution. People have different definitions for urban. One's urban is not necessarily another's urban. We are located on the edge of downtown Milwaukee. We are part of a neighborhood of 90 square city blocks. We have commerce and freeways on two borders and we have on

most of the other two borders decaying, deteriorating, largely residential areas. The ramshackled homes and old apartment buildings stand cheek-to-jowl with the Marquette University campus.

Marquette University is called the General Motors anchor of the neighborhood. I do not know if Congressman Harris would like this as a reference since he has referred to General Motors several times, but after seeing the profit and loss statement from General Motors 2 weeks ago, I would prefer that we were known as General Electric or something like that.

We are about one-sixth the size and operating budget of the University of Alabama at Birmingham. To paraphrase the famous Dartmouth College case, we are small, but there are those of us who love it dearly.

Our conditions were much affected in recent years because we have had five students killed in very tragic circumstances; two by gunfire, one by knifing, one by an outrageous hit and run, and one by a thoroughly outrageous arsonist attack. But that comes with part of our location. There are 28 Jesuit colleges and universities in the country. Most of them are like pigeons; they flock to the downtown. That is where we are and that is what we live with.

But we live with what we think is a warped sense of priorities in this country, and we are really delighted to have this opportunity to promote urban institutions of higher education.

There are two massive undertakings in the city of Milwaukee. One expends more than $2 billion for sewers; another expends $116 million for a new jail. Both are growth industries. We would hope that higher education, particularly urban higher education, would receive that kind of attention and be considered that important to our civilization and our citizens.

Mr. Dobbins, in his comments—I think his was the only testimony on this topic—touched on a different kind of collaboration, that between institutions. While we consider ourselves fine campuses, we can justifiably be criticized for not talking to each other a great deal. We use an example of what we think is, at least in a sense in Milwaukee, a picture of the future. In the Surface Transportation Act there is a sizable allocation of funds for light rail in Milwaukee. We are not at the cutting edge, we are trying to catch up. The mayor calls it the brain train. The brain train in Milwaukee is being planned to link the University of Wisconsin at Milwaukee, which is in the far eastern edge of the city on the lake, then run the light rail through downtown and past the Milwaukee Technical College and the Milwaukee School of Engineering, then past the Marquette University campus and then out to the county grounds to the Medical College of Wisconsin. Now why do we call this the brain train—well that is the mayor's label. We like it for one reason. We realize that no matter how much money and how much ambition we have, we will never be able to bring a uniformly high quality of academic program across all disciplines. And if there is a neighboring institution that is good in one spot and another one that is good in a different discipline, and a third that is equally good in yet another field, if there can be a reasonably good way to transport people back and forth and we can figure out how to cross transfer credits and learn to live with institutions that are in the same industry, and if light rail can do that, that is a wonderful

thing for the future that will avoid the kinds of duplications and overbudget expenditures that none of us can handle.

We have the same thing of a collaborative sense that holds promise for Milwaukee in a field in which there is a great deal of mystique. Biomedical engineering, biostatistics, biomathematics, biophysics. There are at least six nationally and internationally known enterprises in Milwaukee, but all operating quite independently of each other. Thus, the overarching umbrella and central collaborative effort is missing. That sort of effort now to bring those together, to make them work together and to conserve funds in the future by reducing duplication, is now a project underway.

We think that this subcommittee can do a couple of things—at least a couple of things. It has housing as part of its jurisdiction. You can incite people to think about how neighborhoods are to be restored in in-fill and redevelopment renewal rather than the cut and slash approaches of the first urban renewal projects of the 1950's and the 1960's. Anything that you can do on this topic with your policy research would be excellent.

Second, we hope to turn our neighborhood with the help of many partners, essentially through a tax incremental financing district. That gets a little dicey when you have a tax exempt entity involved because what we try to do in a tax incremental financing district is raise valuation generally across the board, and as you raise the tide, all boats go up. Unfortunately when a tax exempt entity is linked to a taxable, some people take a suspicious view of it and say you are raising the value, so you raise the taxes and the taxes then pay for the infrastructure that benefits you. It is a difficult thing to explain and I think additional policy research on the part of your subcommittee could help us defend that approach to redevelopment.

And finally my last comment. Urban institutions and urban education could use either a good swift kick in the pants or a shot in the arm equal to Sputnik. You will remember when Sputnik went up in the late 1950's, our citizens stared at it and asked what does it mean to us. What it meant is we had lost our edge and we had to hustle to catch up. And hustle we did and a lot of it was through education, and a lot of that in urban located institutions that had the ability and the desire to do a good job. If you and your colleagues can come up with a Sputnik rally cry for urban education, we would be very grateful.

Thank you.

Chairman ERDREICH. Thank you very much.

Dr. Ruch, I think we are going to take you second, representing VCU. Tell us your story. Again, your written statement is part of the record and we appreciate you being here.

[The prepared statement of Mr. Sankovitz can be found in the appendix.]

STATEMENT OF DR. CHARLES RUCH, PROVOST AND VICE PRESIDENT FOR GOVERNMENT AFFAIRS, VIRGINIA COMMONWEALTH UNIVERSITY

Dr. RUCH. Thank you, Congressman. I am delighted to be here this morning to speak broadly in favor of the reauthorization of the

Higher Education Act, which you have been instrumental in supporting and specifically to the matters before us.

Like my colleague, I am very aware of being at the end of the railroad train. There is not too much that will be new, so I will focus my comments most directly on one proposition and several examples that your subcommittee might view in terms of additional Federal initiatives.

My proposition is simply that I believe to a large extent the future of American cities is inextricably tied to the future of the urban university. Anything that can be done to strengthen this partnership, everyone benefits. Through the interactions of the university and its surrounding urban communities, real life problems are identified, solutions are found, the quality of urban life enhanced, and urban populations are educated to form the work force and the citizenry of the 21st century. That is my major proposition to you. Let me provide you with several examples from the Richmond experience.

Virginia Commonwealth University is a large urban university. It has two campuses and they hold up the anchors of the downtown Richmond area. In many ways, we are very much like the University of Alabama at Birmingham in our configuration.

We have several new initiatives which I would like to bring to your attention to demonstrate the critical role that the urban universities are playing in cities but also to suggest additional avenues for Federal initiative.

We have entered into a joint agreement with the city of Richmond for the maintenance of a park. That in and of itself does not sound particularly important. But the park is adjacent to the campus, was deteriorating and was not the source of great enjoyment for either the citizenry or the university. Opportunities for universities and cities to enhance the aesthetic quality of the neighborhoods through such a program as an urban environmental enhancement initiative would serve to assist these kinds of activities which provide opportunities for students and the citizenry alike.

Second, our foundation is examining a way to develop what we call a "community assistance" program. We are searching for ways to find financial incentives to improve and enhance the neighborhoods adjacent to the VCU campuses. As my colleagues before me, anything that can be done to strengthen housing initiatives for the inner city will benefit urban universities and our cities alike. Housing is one of our critical issues as we try to reinvite citizens to return and live in the center city.

Third, we have a community service associates program, which permits faculty to move out and spend time in a variety of community projects. The enactment and continued reauthorization of the Urban Grant University Act will strengthen that activity. We in fact are spending time in all kinds of activities; working with the Urban League, working with public schools, working with the city budget office, working with a local fire museum on public relations activity. What is important is as our faculty get off campus and become involved in the life of the city; they are enriched, their scholarship is strengthened, their instruction is richer while at the same time providing direct service to the city.

We have used our recreation and athletic facilities as an unabashed way to invite urban young people to visit our campus. We have a variety of initiatives in this regard and we welcome other ways to bring urban youngsters on campus where we engage in athletic activities and also needed academic enrichment activities.

Our two most vexsome and yet potentially successful activities have to do with (1) our initiative to the State/Federal/business and university task force to address the longstanding conditions of a four-block area somewhat adjacent to our campus which has frankly become a combat zone. We have tried to mobilize all sorts of support and funding, first to deal with the issues of alcoholic and drug abuse in the area, but also to begin to find ways in which we can help that neighborhood plan for itself and redevelop its urban thrust. We believe there must be more exciting and profitable ways for an area adjacent to a university campus to profit from and to enhance their economic development than through these abuses. Consequently, we are exploring the use of urban block grant funds and any other available incentive programs—public or private—that we can use to develop a plan for the area and then to help it redevelop its own economic initiatives.

Finally, we, like other universities are interested in research park activities. We have an incubator program and we have just completed a combined study with city and official business leaders to explore the development of a biotech research facility adjacent to our medical center.

Opportunities, as you have heard earlier, for venture capital and for early stage funding for research and development activities would enhance that activity.

I believe the Richmond story is indicative of many urban universities across the country, Mr. Chairman. Urban universities are vitally involved in the life of their cities. Any initiatives from your subcommittee that can further strengthen the urban environment, urban housing, transportation, as well as direct support for individuals to take higher education, will enhance urban universities and interactively enhance the quality of life in the cities.

I thank you for the opportunity.

Chairman ERDREICH. OK, thank you, Dr. Ruch, I appreciate your comments.

Last, we hear from Jim Harrison who is president of the Association of Urban Universities. Mr. Harrison, thank you also for being in attendance and you can go forth with your oral statement.

[The prepared statement of Dr. Ruch can be found in the appendix.]

STATEMENT OF JIM HARRISON, PRESIDENT, ASSOCIATION OF URBAN UNIVERSITIES

Mr. HARRISON. Thank you, Mr. Chairman, Mr. Harris.

Very recently your colleague Bill Ford of Michigan, the chairman of the Postsecondary Education Subcommittee of the Education and Labor Committee finished 44 days of hearings and heard 447 witnesses on the Higher Education Act. As I had this morning, I had the honor of being the last of the 447. I made a comment about being the last dog to be hung and the member of the commit-

tee who was presiding at that late stage of the day made another remark, a metaphor about how cows jump over fences and the whole thing got out of hand.

But anyway, like today, we were hearing from people, a long line of people who had a lot of very concrete evidence to bring to you. And that is why I asked my colleagues here if I could come on last, because I cannot enlighten you, the people attending this hearing, about what Birmingham needs from its urban university or indeed what its urban university can do for Birmingham. The people here know that better than almost anyone in Washington, with the possible exception of you.

The people in Marquette know better what their urban university and their city need from each other than anyone in Washington, and the people in Richmond and the people in Boston and San Francisco and New York and all of the other several hundred American cities with urban universities and urban colleges in their midst.

And that is central to title XI of the Higher Education Act, the Urban Grant University Act about to be renumbered as title 1A. The concept of that title, the central concept, has been that decisions about what the universities and cities will do for each other—and those three words are important—that central decision is going to be made on a local basis by local people who know what the local problems are and know what local solutions can be brought to bear.

This hearing brings to mind the words of the great baseball poet, Yogi Berra, who said something about this "reminding him of *deja vu* all over again."

The last time I was in Birmingham to talk about urban grant was in 1978. The president of the University of Alabama at Birmingham came to his own campus and testified about this legislation. Mayor David Vann came. A city councilman named Arrington came and testified. People came from the business community, from the UAB faculty, a vice president of another great neighboring urban university named Georgia State, Ed Hughes, came and testified. And a Jefferson County Commissioner by the name of Erdreich came and testified. And he made the same point more briefly than I am making it this morning. He talked concretely. Mr. Erdreich, I have your testimony here, I think the last printed copy of those 15-year-old remarks.

Chairman ERDREICH. I have got one in my office.

Mr. HARRISON. There are two. Nobody can borrow this.

You talked concretely about how Birmingham and UAB had cooperated with Cooper Green Hospital on health problems. You talked concretely about how Birmingham, UAB, and Jefferson County had collaborated on developing a merit system for the county and for the cities in it. You did not talk about the broad principles of city town-gown relationships. You talked about very concrete things in a very concrete environment.

You did one other thing, sir, and I want it on the record. You stuck with it. You have come to Congress and you have been supportive of title XI throughout its long life and it has been a long life. This will be the third time it will be authorized—it is about to be reauthorized. I think the deal is a done deal, the two Houses

have arrived at virtually identical versions. They will go to conference over it, but it is not going to take a lot of trouble to work out those differences. The Appropriations Committees of both Houses have seen the light with a little prodding from you and Bill Ford and Tom Sawyer of Ohio, a former mayor, and Mark Hatfield of Oregon who has a wonderful urban university in his State—and they have put some money at the disposal of the urban grant idea. And so I think it is about to get started as a Federal program.

But title XI has been encouraging urban universities for years, the 10 years it has been on the statute books, to do what you have heard about this morning.

I am asked why is this subcommittee holding this hearing. After all, the jurisdiction over title XI is with the Education and Labor Committee. Well, I think it is a great idea for this subcommittee to look at this because cross-jurisdictional interests make a very important point about the Urban Grant Act. The act itself was developed by a bunch of universities and colleges. The urban universities and colleges developed the urban grant idea because they thought it would help them in their relationships with the cities—and it will.

The cities have taken up on it and have encouraged the concept because it will help the cities. But more importantly, the cities, like their universities, are simply instruments of a larger society, and the Urban Grant Act, if it is going to be (a) successful, and (b) much more important, if it is going to be worth the taxpayers' dollars, it is going to have to serve that larger society. And I think the greater degree to which committees of the Congress can look at this and ask, "how do we bring our jurisdictions, how do we bring our areas of expertise to the service of the cities and their universities?", the more this idea is going to work.

The Urban Grant Act is a very modest but important symbol of something that has always characterized this country at its best. I do not think we have lost sight of it today. The need for what we do as a society, what we do through our agencies of social regulation and social change, those are our governments and our schools, have to be broader than either the governments or the schools.

If the people are to take their own money and invest it in their own schools and colleges and universities, they have to have in mind the well-being of those colleges and universities—more than the well-being of the colleges and universities—even more than the education of their children. The investment is most worthwhile when it works for the benefit of the whole society. UAB's constituency is not only its faculty, its students, their families, and the city in which they live, but the businesses and working people of that city and those who do business in and with all of the above. And by the time you finish those chains of connection, you are talking about the whole society.

The Urban Grant Act will not significantly enrich any given university, it will not enrich the States. But it will make life a little better, it will bring the capabilities and the riches of two kinds of institutions to work jointly on problems in which they are both looking now from opposite ends—from different ends at least.

So forgive me for not being specific about what UAB can do for Birmingham. As I say, you know those answers much better than I

do. Let me say once more that the equivalents in city after city, of the Ben Erdreich who testified 13 years ago here on what UAB could do for Birmingham, have a tight hold at the right end of the stick. You specified the specific things a specific university was doing for a specific city. That is the basic concept of the Urban Grant Act.

I suggest it would be a very useful investment of public dollars, legislative energies, and intellectual capital, to keep exploring those possibilities.

So let me finish by saying thank you, Mr. Chairman, for keeping our shoulders to that wheel.

[The prepared statement of Mr. Harrison can be found in the appendix.]

Chairman ERDREICH. Thank you very much, Mr. Harrison for your kind words. I would add that my colleague, Claude Harris, joined with me in the letter when we urged the current conference committee to come forward with some actual dollars.

Mr. HARRISON. Indeed. And they did.

Chairman ERDREICH. And they did.

Mr. HARRISON. You told them to do it and they did it.

Chairman ERDREICH. I wish I had such direct control over Bill Natcher and other conferees.

But you know, the very reason we are holding this hearing and why I wanted my subcommittee and the larger full committee, the Banking Committee, which has urban affairs jurisdiction, to take on this issue is what you touched on. I do not think communities can be compartmentalized, nor can Congress—should Congress. And my intent is to use this hearing as a means to explore, as you phrase this, cross-jurisdictional interests, and I think there should be. And I am hopeful that we can look at some of the programs that are under the purview of the Banking Committee, without taking away from anything directly from the cities' CDBG block grant, but maybe build in some incentives or some other means of encouraging university/community joint partnerships. I think that is the way we should be going with the multiplicity of jurisdictions, whether they are governmental-local, governmental-local/Federal, Federal/State, and then State/local/Federal and university and go around the barn of all the different entities that I think all have a common goal to enhance the communities in various ways, but use existing resources that we have.

Mr. HARRISON. Let me add one thought, Mr. Chairman.

Chairman ERDREICH. Yes, sir.

Mr. HARRISON. You have extended an invitation to the Association of Urban Universities and to the urban university community generally to come and tell you what your subcommittee can do in this cause. We are going to express our gratitude for your invitation with a lobbyist's typical gratitude. We are going to come and tell you what you can do for us. [Laughter.]

You will hear from us.

Chairman ERDREICH. We look forward to that.

Congressman Harris, anything in closing, or any questions or comments?

Mr. HARRIS. No, I just want to congratulate you again, Mr. Chairman, on having this hearing. I am not on the committee with

Ben, I serve on the Energy and Commerce Committee, but I think that it is important that we have as much interest expressed from as many different committees as we can, because when we get on the floor it does not matter what committee you are on, it is just a game with numbers. And we want to have the numbers to carry forward. As I have said, this is certainly an exciting thing and concept, and I can't think of sometimes a more unused source of information and resources than our universities. So that we cannot only get the expertise out, is one—I certainly do not want to say that you are in an ivory tower, but some of the columnists have talked about coming down from the ivory tower—but wherever we come from, that we get it out so that we can use it in the community and to keep jobs in place. I cannot emphasize any more the importance of that. We saw it firsthand in our community in Tuscaloosa where a factory was saved. So I think it is a great utilization, not only of the expertise that you have, but it is a good way that pays a return many times on the taxpayers' dollars.

I commend you for your testimony and when you are in Washington, I know you will come to see us, but I invite you to come see me too. Thank you.

Chairman ERDREICH. I want to say that VCU and Marquette's story, coupled with UAB's story, which I knew some of, but I would add I guess what Mike Dobbins mentioned, that just getting everybody in that story to share at once, then you get a better feel of the entirety of it. That was very helpful to me and I suspect to the panelists themselves. But I would conclude and say that I do not think UAB and Marquette and VCU's story is unique, that urban universities, indeed all the urban universities are very much involved in their communities, some maybe more so than others, but I think all to a very great extent. And I think we can build on what we have heard today to try to enhance that involvement for the benefit of all our communities.

Thank you very much for your testimony and we will adjourn this hearing. Thank you.

[Whereupon, at 11:19 a.m., the hearing was adjourned.]

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U.S. HOUSE OF REPRESENTATIVES

ONE HUNDRED SECOND CONGRESS

SUBCOMMITTEE ON POLICY RESEARCH AND INSURANCE
OF THE
COMMITTEE ON BANKING, FINANCE AND URBAN AFFAIRS
ROOM 138, FORD HOUSE OFFICE BUILDING
WASHINGTON, DC 20515

STATEMENT OF CHAIRMAN BEN ERDREICH
SUBCOMMITTEE ON POLICY RESEARCH AND INSURANCE

HEARING ON THE ROLE OF URBAN UNIVERSITIES IN ECONOMIC AND COMMUNITY DEVELOPMENT

October 28, 1991

I have called this hearing today to consider the role of urban universities in economic and community development, and to call attention to the important work taking place here in the City of Birmingham and throughout the country with partnerships between urban universities and their respective communities. It is very appropriate that we hold this hearing on the campus of the University of Alabama at Birmingham, because as an urban university, UAB has demonstrated a willingness and ability to help make its surrounding community a better place to live and work in.

In 1978, as a member of the Jefferson County Commission, I testified on this campus before the Congressional education committee in support of the Urban Grant University Program. Today, as a Member of Congress and chairman of the House Banking Committee's policy research subcommittee, I am happy to once again support this program and to help secure funding for these grants that I hope the City of Birmingham and the University of Alabama at Birmingham will be able to take advantage of.

Earlier this month, I called on members of the House Appropriations Committee, together with 15 House Colleagues, to fund the Urban Grant University Program for the first time since its enactment. This program and its funding will help support the very work that universities like UAB are now undertaking. I am happy to report that during the current conference deliberations, the House and Senate have agreed to include $8 million for the grant program, and I hope we can all work to support the program on the House floor when the final bill comes up for a vote.

BEST COPY AVAILABLE

Today, we will hear testimony from representatives of the City and the University about the projects taking place here in our great city. They include economic development activities such as the sponsorship of a small business incubator and a research park, and community support such as the adoption of neighborhoods to address social and health related problems, and the development of affordable housing. We can all be proud of these accomplishments; they represent a new force in community and economic development - one that needs to be encouraged. The partnership here in Birmingham between the University and the City of Birmingham highlights the valuable work that urban universities and their communities can accomplish.

Nationwide, other urban universities are also engaged in similar work, including Marquette University in Milwaukee and Virginia Commonwealth University in Richmond. This work has been aided by the valuable support of the Association of Urban Universities, the National Association of State Universities and Land Grant Colleges, and individual schools like UAB.

I also hope to learn from our witnesses today other forms of incentives, in addition to the Urban Grant University Program, that the Federal Government could be providing city-university partnerships. Specifically, as chairman of the Policy Research Subcommittee of the House Banking Committee, I hope to determine what programs under our jurisdiction relating to housing and community development could be utilized to further the important work of these partnerships.

U.S. Congressional Hearings on the Role of Urban Universities

in Economic and community Development

The University of Alabama at Birmingham
Birmingham, Alabama

October 28, 1991

Remarks of Dr. William A. Sibley
Vice President for Academic Affairs

It, indeed, is my pleasure to welcome you, Congressman Erdreich, and the members of your staff, to The University of Alabama at Birmingham. I bring special greetings from President Charles McCallum. He deeply regrets that a previous commitment prevents him from attending. I know that I speak for UAB, the people of Birmingham and many others when I say that this focus upon the issues of city life and urban education represents a critical development for our country. It is my hope that this Hearing is indicative of a new wave of interest within the United States Congress, a wave of interest which will result in urban issues having an appropriately high priority as American society moves into the post-cold war era. As the Congress knows well, Land Grant Universities have been and will continue to be a great boon to our society. Now we need an urban university emphasis.

A key contextual point for these hearings comes from history. Cities and universities emerged as complimentary institutions some 700 years ago. The University of Paris and the University of Heidelberg are but two examples. Today the relationship between urban development and higher education is even more important. Times have changed. People live predominantly in cities. Our population swells daily. Our economy is tied inextricably to others in the world. All people in our society have a right to political and economic opportunity and access to education.

These changes in society make for both a complicated and exciting future in education. One positive way we are responding to this complexity is through cooperation and the pooling of private and public educational resources through urban universities. In attempting to achieve better housing, education, transportation, economic planning and environmental solutions, the urban setting can focus a myriad of people to use available talents on a problem. The advent of high technology for manufacturing, transportation, communication and education helps make this pooling an even more effective experience.

Let me give you an example. The UAB community has been asked by the community of Titusville, which is on the outskirts of Birmingham, to assist with the schools. One might think this would just involve our School of Education helping teachers to be better equipped for the teaching process, assisting with special reading programs and so forth. That is a part of the approach, but we are undertaking a more holistic procedure for helping the Titusville schools. A broad part of our UAB family is involved in working with the Titusville community. Our Optometry School has gone in to do vision checks. They have found that 20% of the children had difficulty seeing the blackboard. Our Dental School has become involved by helping with dental checkups, a procedure most of the children had never had. Study is currently underway to see how we can help with prenatal care, and thought is being given to classes on parenting. Special counseling help is available for children expressing anger and hostility and having a tendency for violence. As you can see, our help crosses a broad spectrum of disciplines at the university. I must point out that the community must invite us to help, we then work together to find solutions to the problem.. It is an exciting program. This is one prime example of education and the community working together. Another is the Civitan International Research Center with its emphasis on learning disabilities. UAB is a major research university with research expenditures that place us in the top 35 universities nationally. Yet you find here a group of caring scholar who can help people because of our combined talents and our urban setting.

The city and the university represent a critical mass of educational uplift for the economic development of all people. In this critical mass one finds the modern strategy of combining and collaborating. Our society must adopt this approach for the twenty-first century.

Certainly we believe that The University of Alabama at Birmingham exemplifies this way of the future. We are delighted to have joining us in testimony representatives from Virginia Commonwealth University, Marquette University and others who likewise are in a position to delineate what urban universities can accomplish for society with appropriate congressional attention.

No domestic priority is greater than the cities, for in the urban existence one finds the pressing issues of the twenty-first century. All urban universities must be ready for the future. We are delighted to have you back in your home town to discuss these vital developments.

Given these general remarks, Congressman Erdreich, I will be happy to answer questions and then refer you to my colleagues and others who are present for discussion of this important topic.

The Association of Urban Universities
P.O. Box 33276, Washington, D.C. 20033 (301) 229-6037

TESTIMONY

OF

JIM HARRISON

PRESIDENT

ASSOCIATION OF URBAN UNIVERSITIES

Before the

SUBCOMMITTEE ON POLICY RESEARCH AND INSURANCE

of the

COMMITTEE ON BANKING, FINANCE AND URBAN AFFAIRS

UNITED STATES HOUSE OF REPRESENTATIVES

HON. BEN ERDREICH, CHAIR

Birmingham, Alabama

October 28, 1991

Mr. Chairman, members of the Subcommittee, I have to begin my testimony by plagiarizing the immortal words of Yogi Berra: "It looks to me like déja vu all over again."

Thirteen years and seven months ago, on March 23rd, 1978, I attended a hearing in this city, during which Representative William D. Ford and Birmingham's own Congressman, the Hon. John Buchanan, took testimony on HR 7328, a bill to enact a Urban Grant University Program. Their forum was the Subcommittee on Postsecondary Education of the House Committee on Education and Labor.

The hearing took place, like today's hearing, at the University of Alabama in Birmingham. In the Nursing School Building Auditorium. The first witness was Dr. Richardson Hill, the then-President of UAB. His successor has testified before you today. In both cases, we heard an exciting description of how a great urban university can and has put its resources at the service of a great city and its people.

In 1978, Dr. Hill's testimony was followed by that of Ms. Odessa Woolfolk, then an instructor in urban studies and director of public service at UAB. I see and hear Ms. Woolfolk again today.

Local Government and community groups were heard from, too. The then Mayor of Birmingham, Mr. David Vann, Mr. Richard Arrington, then a member of the Birmingham City Council, and Executive Director of the Alabama Center for Higher Education, Mr. Louis Willie, Executive Vice-President of the Booker T. Washington Insurance Company--all testified in support of pending legislation.

That legislation would make available, on a competitive application basis, small Federal grants to enable urban universities to work together with their city and county governments to bring the riches of the university, the resources of its libraries and laboratories, the knowledge and experience of its faculty, the enthusiasm of its students, to bear on problems identified as high priority by local government.

We had witnesses from out-of-state; from great urban universities in other cities, where there were problems different from the problems faced by Birmingham. Vice-President Edmund Hughes of Georgia State University in Atlanta came in 1978, as Vice-President Jim Sancovits comes today from Marquette University in Milwaukee, Wisconsin.

And there were lobbyists present from inside the famous, or infamous, Washington Beltway--me, both times. In 1978, however, they had the good sense to keep me off the program so you could hear testimony on this legislation from those from whom and to whom it means the most--the people of Birmingham and the people of Birmingham's great urban university.

Finally, Mr. Chairman, I have neglected to mention one witness who appeared before the Subcommittee on Postsecondary Education in 1978. He put flesh on the bones of HR 7328 by describing in vivid detail how UAB worked closely with Jefferson County to create an Office of Senior Citizen Activities; how UAB's School of Nursing and its great medical center have worked with Cooper Green Hospital; how the UAB Center for Urban Affairs helped develop fair housing workshops for city and county officials, and how UAB was utilized in the implementation of Jefferson County's merit system.

That witness was Ben Erdreich, member of the Jefferson County Commission.

Commissioner Erdeich's testimony was important because it was concrete. It was specific to the time and the place and the institutions involved. I can talk about the general principles underlying the Urban Grant idea. Ben Erdreich and his successors in Jefferson County can talk about what is needed from their urban university in their urban reality.

The 1978 testimony was important, too, because it began a process that has persisted. The Presidents of UAB and the other urban universities have not forgotten their promise to work with their cities. The Mayors and County Executives of this place and places like it across the nation have persisted in their commitment.

Bill Ford and John Buchanan did not forget what they heard here in March of 1978. They went back to Washington, and two years later, as part of the Higher Education Amendments of 1980, there appeared on the statute books what is known as Title XI of the Higher Education Act--providing for the very sort of Federal investment in town-gown relationships that these witnesses had been talking about.

And County Commissioner Erdreich didn't forget, either. Title XI became law in 1980, and a couple of months later narrowly escaped elimination at the suggestion of the new Administration of Ronald Reagan. It has been struggling ever since to remain on the statute books and to gain minimal funding. And the County Commissioner, having become a Member of the Congress, and a member of its Committee in Urban Affairs, has remembered what he said that March day in Birmingham, and has supported its re-enactment and its funding every step of the way.

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I am proud to be able to report to you today that with the noticeable help of the Congressman from Birmingham, because of the example of the City of Birmingham and the County of Jefferson, spurred by the example of the University of Alabama at Birmingham, and other urban universities, from Birmingham to Marquette to New York and Boston, to Atlanta and New Orleans, to Houston and Denver and San Francisco and Minneapolis, and Portland, Oregon, the urban university movement is a growing one, but much more significantly, the university--City Hall--County Court House link is being replicated throughout the nation.

This year, under the leadership of the same Michigan Congressman, Bill Ford, now Chairman of the full House Education and Labor Committee, with the participation of Rep. Tom Sawyer of Ohio and Senator Mark Hatfield of Oregon, and Chairman Ben Erdreich of Alabama, Title XI is being renewed, reshaped and most importantly, funded, so that it can be available as a tool to help our cities meet their problems, and help our colleges and universities work with those cities on issues which confront them all.

I did not come here to add to what the President of UAB or the Vice-President of Marquette will say about how their institutions and their two cities can work together. They can tell you that better than I can. I did not come here today to tell Birmingham what it needs from its university. The Mayor and the City and County Government know that better than I can. I came here today to underscore the importance of persisting in a good idea, and to remind a sometimes skeptical public that a legislative idea, taking shape slowly, tested over several years of hearings and amendment, can become a very important tool with which to meet local problems.

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And I am here to thank the people of Birmingham--notably their outstanding Representative Ben Erdreich, for their persistence in sticking with this good idea. We in the urban university movement feel pretty good right now, because everything is going our way. Our Title XI is well down the road to being re-enacted, after significant improvement at each stage of the legislative process. It is on the brink of being funded, not lavishly, but enough to get started.

And it is useful for spokesman for education to remember that it is not us. It is the people of Birmingham and Boston and Baltimore who create and sustain these successes. And through their active and dedicated and experienced Representatives those people have spoken effectively on these issues.

Mr. Chairman, I have come here to be a resource, to respond to questions about the newly written Urban Grant Act, and to say thanks to you and your neighbors for making it so.

I have been asked why this Subcommittee is holding hearings on legislation which is in the primary jurisdiction of another Committee of the House, and which is moving rapidly toward re-enactment in that other Committee and its Senate counterpart.

I think this cross-jurisdictional interest makes a very important point about the Urban Grant Act. The Act was advanced by a group of universities and colleges. It reflects the interest of those institutions in making their resources available for another set of institutions altogether--for the governmental and other community institutions which taken together make up a city.

So, while the legislation has emerged from the House Committee on Education and Labor, with its focus on the needs of education, and from the Senate Labor and Human Resources Committee, with its similar area of principal attention, it has attracted the attention of members whose committee assignments make them especially interested in the needs of the cities of America. It is no accident that the chief House sponsor of Urban Grant in this cycle has been a former Mayor--Representative Thomas Sawyer of Ohio, one-time mayor of Akron, Ohio, during whose mayoralty, the city of Akron and the University of Akron have developed a close working relationship that is almost symbiotic in nature. The city is fully conscious of its role as the university's environment --and the university is totally dedicated to its role as a major resource for the city. The Urban Grant Act is not, then, a program in which there is one major group of beneficiaries--that group of institutions known as the urban universities and colleges. The beneficiaries of this legislation must be, if the experiment is to be worth the minimal Federal investment called for, the cities and towns and counties--and the business and labor and other community groups with whom and in the service of which, those universities and colleges put their resources.

The Urban Grant Act, I would go so far as to suggest, is a very modest but important symbol of something that has always characterized this country at its best--and which, I think, we have by no means lost sight of today--the need for what we do as a society, what we do through our agencies of social regulation and social change, namely, our governments and our schools, to be broader than those agencies alone.

If the people, through government, are to take their own money and invest it in their own schools and colleges and universities, they must have more in mind that the well-being of those colleges and universities, even more than the education of their children. That investment is only worth while if it works to the benefit of the whole society. UAB's constituency is its faculty, its students, their families, and the city in which they all live, and the businesses and working people of that city, and those who do business in and with all of the above. The Urban Grant Act will not significantly enrich UAB, or Marquette, or any of the other urban colleges and universities. It will, we hope, make some improvement in the cities in which they live. And THAT, far more than the few dollars than circulate through the college in an Urban Grant, will make UAB and Marquette and CUNY and San Francisco State, better able to make better citizens of the children of their neighbors.

Forgive me for not being specific about what a given university can do for a given city. I leave that to the equivalents, in city after city of the Ben Erdreich who testified 13 years ago on what UAB could do for Birmingham. You had, Mr. Chairman, a tight hold on the right end of the stick. You testified on specific things a specific university was already doing for a specific city. That is the basic concept of the Urban Grant Act.

I suggest it will be a very useful investment of public dollars, legislative energies and intellectual capital. Thank you, Mr. Chairman, for keeping our shoulders to that wheel.

TESTIMONY OF

JAMES L. SANKOVITZ

VICE PRESIDENT FOR GOVERNMENTAL AND COMMUNITY AFFAIRS

MARQUETTE UNIVERSITY
MILWAUKEE, WISCONSIN

FOR THE

SUBCOMMITTEE ON POLICY RESEARCH AND INSURANCE

THE HONORABLE BEN ERDREICH, CHAIRMAN

OF THE

HOUSE COMMITTEE ON BANKING, FINANCE AND URBAN AFFAIRS

AT THE

GREAT HALL OF THE HILL UNIVERSITY CENTER

THE UNIVERSITY OF ALABAMA AT BIRMINGHAM

MONDAY, OCTOBER 28, 1991

Mr. Chairman and Members of the Subcommittee. My name is James L. Sankovitz, vice president for governmental and community affairs at Marquette University, in Milwaukee, Wisconsin. I appreciate very much your invitation to testify before you this morning on the topic of the future of this nation's urban institutions of higher education. I am particularly pleased to participate with representatives of UAB, for which we have a great deal of respect and which we believe shares a mutual concern for the type of campus we jointly represent. Whether state-supported or independently-sponsored, the collegiate campuses located in urban settings throughout this nation face unusually complicated futures not because of their fundamental mission, but for reasons of location and metropolitan expectations.

Marquette's involvement in this hearing and in similar meetings and discussions the past several months is a direct result of our seeking Congressional attention for the future of campuses facing unusual challenges because of their physical environment and academic mission. A snapshot description of urban campuses would include, in most cases, fairly large to quite sizable enterprises carrying on a widely ranging variety of campus as well as community-related activities, providing services to a host of agencies and populations much more diverse than most collegiate campuses. At the same time,

most of these institutions are surrounded by neighborhoods which not only relate to the business of metropolitan centers but also are physically much in decline. Marquette is located in a typical setting. It has some not well-defined boundaries that spill over into pockets of socially and economically needy people, the majority of whom need help because they are relatively poor, represent the very young or much older populations more so than do their suburban counterparts, and contain dense concentrations of minority citizens. It is a downtown campus.

It is in these typical settings that colleges and universities have come to be regarded as holding the potential to offer more social service and community interaction than do campuses located in more remote and stable environments. So, it comes as no surprise that campuses such as Alabama-Birmingham and Marquette often -- and with increasing frequency -- are called upon to focus more activity, resources and ambition on the surrounding reality. In precious few instances can this practice of higher education be described as an ivy-clad exercise. The fundamental mission of higher education of these campuses is every bit as much focused on teaching, scholarly investigation and institutional service as are other campuses not as intensely conscious of the surrounding community, but the urban campus routinely caters to the immediate and practical issues that dictate day-to-day life.

A quick way to illustrate this somewhat different mission is to cite a very positive factor. Most medical centers thrive in urban settings because a related good is adequate patient access. That is true for Alabama-Birmingham's medical activities as it is for Marquette's dental program, particularly as both operate extensive clinical programs.

However, while such outreach and natural relationships of campus to community have thrived in some education and health care delivery contexts, the same is not so abundantly true for other academic disciplines. Would the same be so for our sociologists, linguists, philosophers, physical scientists and the like -- those teachers and students who, by the very nature of their pursuits, often educate or are educated in some isolation from what is happening just across the street from the campus boundary -- many of the rigors of life might be addressed much more directly in the Academy's search for new knowledge and better applications.

We have known about the somewhat different conditions facing urban campuses for years and there has been substantial progress made in knitting campus potential to community needs. But the recent acceleration of decay and deterioration in our nation's central cities prompts a very testy question. Where will the students of tomorrow elect to enroll?

Higher education has survived despite a spate of advice by well-meaning but often poorly-informed publications which annually proclaim what's the "best buy" or the "leading" or the "most stable" campus for next year's wave of new enrollees. Now, in place of the "which is best" advisements has come a different sort of counsel -- what's the "safest" place?

The deterioration I mentioned as a common ingredient of the neighborhoods surrounding urban campuses often means, simply, crime infestation, drug culture, physical and financial collapse, and one set of people often preying on another set. Thus it is that urban campuses have had to create yet another service -- police units, sometimes called public safety or security forces. This should not come as a surprise. After all, the collegiate campus once firmly rooted in teaching or research has, over time, come to also operate hotels, restaurants, banks, athletic facilities, consulting tanks, etc. Adding a police force isn't that much of a stretch once the pattern was established. And, students and their parents have come to expect security provisions just as much as well-equipped classrooms.

But, at what cost? Marquette employs about six dozen public safety personnel to look after the security of an 80 acre campus abutting downtown Milwaukee, at an annual operating cost of $1.5 million. That might strike some people as not a great deal of money

to promise safety, especially in an annual operating budget of $135 million (which is small when compared to the scope of Alabama-Birmingham) but what would that amount buy in terms of traditional campus expenditures? About 25,000 new library books a year, or about 165 undergraduate tuitions at our present tuition rate of $9,000, or some 30 professorial lines -- hardly trifling for a tuition and gift-dependent campus. But, we have no alternative.

The passage last year of the Student-Right-to-Know and Campus Security Act now requires campuses to report crime. When you have a campus through which the City's downtown streets run and for which there are more nearby off-campus housing quarters than there are on campus, the crime statistics reporting systems are much more telling reports for the non-campus environment and neighborhoods than they are for the campus itself. But it is the campus that bears the brunt of defending the notoriety of incidents, especially when prospective enrollment is at stake.

Crime can happen anywhere. It was a tragic coincidence that a deranged serial murderer chose to exercise his lot close to the Marquette campus last summer, thus calling to unforgetting minds the five separate killings of Marquette students in off-campus incidents the previous six years. The Marquette campus is no less safe now than it was before that awful history, but the relationship of the University to the cruel consequences of life nearby will taint descriptions of Marquette for a long time.

These incidents have caused a reasonable longrange planning question. That is, can Marquette and the campuses like it continue to do business as usual, living side-by-side with some unattractive neighborhoods and still reach out into the community to share its educational mission with the community in general, or should it wall itself off from life?

Marquette, like a good number of other urban campuses nationwide, persists in the ambition that reaching out, sharing even more of its educational resources with the surrounding community, is the better course. We have our critics, though, who say our future is dictated by creating distance between campus and city.

There is already a goodly amount of campus/community involvement. Our students tutor youngsters in nearby schools. Our health science units daily obtain educational good from practica in clinics throughout the city. Internships provide valuable real life experience for students. Engineers create tot lots for neighborhoods and volunteer for Habitat for Humanity projects. For more intensive and lifelong experiences, students travel to Appalachia to lend healthy hands and in the intervening months collect and deliver food and clothing for daily assistance to needy neighbors.

These are not unusual examples. Most campuses operate at least some of these activities; perhaps not in as concentrated doses as might occur on the urban campus but they are there nonetheless.

The major point is, given the threatened and threatening circumstances of urban, central city neighborhoods, collegiate campuses will be asked to take on even more responsibilities in the future. And, at a time when the resources of even the most financially secure colleges and universities are stretched to the fullest, it will be much more difficult for most to do a great deal more.

What would we do if there were more resources? A few examples should suffice. We have a good legal clinic that serves the needs of citizens looking for help but can't afford regular legal advice. Put those students and faculty in neighborhood storefronts, rather than operate them on a campus that many individuals find confusing. Let the journalism students create neighborhood papers or have them turn their creativity toward local cable television opportunities to staff a neighborhood, dedicated channel. Attack the absentee landlord syndrome by creating new housing value and providing walk-to-work incentives that lead to new neighborhood investment. Put education faculty regularly and routinely in the neighborhood schools and create a regular flow of elementary, middle and high school students and teachers between the schools and the collegiate campuses. Build cogenerational housing so that one age group -- old or young -- doesn't suffer isolation, but builds understanding. Build better links between and among security forces and local police departments so that the much-bandied concept of "community-based policing" can have real experiment locales to perfect eradication of the "cops versus us" mentalities that sour many neighborhoods.

The list of possibilities is endless and each component is not necessarily a funding blockbuster.

These are the kinds of interactions which the federal government had in mind when the original Title XI language was added to the Higher Education Act more than a decade ago. But that became words only when the intent was not deemed sufficiently important to attract appropriations. The lack of funding for Title XI is nothing short of the adage -- do as I say, not as I do!

Our message this morning is quite simple. Members of Congress are fully aware of the pressures mounting on central and inner cities and most Members want to do something about the situation before it becomes a crisis without solution. But, time is running and Members ought to consider that not only will urban neighborhoods fail completely if no substantial relief is provided, but the urban colleges and universities that are part and parcel of this evolution just may go the same way -- at least those campuses which strive to be part of the solution and not place moats around them, to separate education from the realities of life.

The early drafts of the House reauthorization of the Higher Education Act have shifted the standalone Title XI ambitions into a new, comprehensive Title I, separating the campus/community ambitions

into a set of objectives which appear to contain less ambitious expectations. It would be a shame if, when there finally is growing appreciation for the unusual characteristics of urban campuses, the Congress would send a message that less significant achievement is desired.

Perhaps the Higher Education Act alone is not the appropriate route to address the urban campus problems. Perhaps it will require a meshing of ambitions as between several federal agencies, not just Education. Perhaps a consolidation of effort, if not jurisdiction, as between Education, HUD, Banking and Urban Affairs and the various research agencies is the only reasonable way to get at this problem. If that's so, so be it. The federal government has not been lacking in solving problems when there is a concerted push to solve a problem. I am prejudiced, no question. But, in my mind the shrill cry of police sirens in our neighborhoods is no less a clarion cry than Sputnik's "beep beep" of the late fifties, and we all know how the nation rallied to that threat.

The mechanics should be no problem. The problem is this: Are the urban campuses worthy of concentrated attention and funding? Are they today's counterpart to the historic land grant initiative? Do they deserve the attention given similarly to the sea grant institution ambitions? Does the Congress realize that urban campuses hold a powerful promise for solutions to the inner city problems that beset metropolitan communities throughout the nation?

Critics of what Marquette has proposed are in ample supply. We have asked to become a demonstration project campus, to use $4 million of federal funding annually over five years to build a program of urban problem-solving using a collegiate campus as the central focus and the neighborhood and downtown as equal beneficiaries. We set the dollar goal high deliberately but in accordance with what we thought was needed to create an incentive which could be used to attract and leverage the partnerships of other entities, public and private.

More recently the criticism has turned toward the exclusivity of what we sought, some people thinking it would be unseemly for just one campus to have an opportunity to address what is a national problem. If that objection is an obstacle, consider doing the same at a variety of urban campus locations and make the experiment a truly national effort. If there are ways that campus and community can be knit beneficially in Milwaukee, why not try the same approaches in, say, Watts, Chicago, Birmingham, Boston, Morningside Heights or any other urban location that has at least one urban campus that is willing to join a network of collegiate ambitions to test the usefulness of amending their educational missions to address globally the local urban problems. But, make it a legitimate process. Gather together those colleges and universities with the ability and desire to mount special urban programs, judge what are the reputable methods of such concentrations of problem-solving and create the score card that Congress will demand as part of the price to undertake the effort. If something tried in Birmingham was a splendid success but flopped

terribly in Milwaukee, why? If something tried in Boston attracted matching private support and didn't in Los Angeles, again, why? If the City of New Orleans benefitted from the approach in which Providence failed, again, why?

Marquette is not only eager to make the urban issues as related to higher education a quest of its own, but it is just as eager to rally others -- cities and campuses -- to do the same. We do that knowing full well that there have been cities, campuses and associations of like communities and institutions that have labored long and hard to create just such a Congressional sensitivity, but with less than widespread success. Perhaps our major contribution is nothing more than a fresh voice. But we'd like one thing to be known -- it's high time that the urban campus obtain justified respect for what it's about and for the magnitude of what remains to be done.

We appreciate very much your invitation to express these thoughts at this hearing and hope that you will accept our contention that the Congress should address urban education more forcefully in the future as a genuinely, national issue.

REAUTHORIZATION OF THE HIGHER EDUCATION ACT

Testimony of Charles P. Ruch
Provost and Vice President for Academic Affairs
Virginia Commonwealth University

Subcommittee on Policy Research and Insurance
Committee on Banking, Finance and Urban Affairs
Birmingham, Alabama
October 28, 1991

Mr. Chairman:

I am Charles Ruch, Provost and Vice President for Academic Affairs at Virginia Commonwealth University in Richmond, Virginia. I am pleased to be here today to speak on behalf of the reauthorization of the Higher Education Act. There are several titles of the Act that are of particular import to urban universities. Titles which support student financial aid, strengthened teacher education programs, student community service, cooperative education, and graduate education, to highlight but a few, all serve to support the university's role in urban economic and community development. However, I particularly want to focus my remarks in support of the reauthorization of the Urban Grant University Act, Title XI of the original Act.

I believe that, to a large extent, the future of many American cities is inextricably tied to their urban university. It is through the interactions of the university and its surrounding urban communities that real life problems are identified, solutions found, quality of urban life enhanced, and the urban populations educated to form the work force and citizenry of the 21st century.

Like other sister urban universities across the country, we in Richmond take seriously our mission to play a critical role in local economic and community development. As you are aware, the Urban University Grant program is yet to award its first grant. However, without this support much is being achieved by urban institutions of higher education. But, as we move into the 21st century, the needs of our cities become clearer and more critical. More can be accomplished by urban universities through the reenactment and appropriation of the Urban Grant University Act.

- Virginia Commonwealth University is an urban institution. We are in the heart of Richmond, Virginia, with a regional SMSA in excess of 750,000.

- 58% of our undergraduate enrollment of 12,890 are drawn from the Richmond Metropolitan area. 40% of our new freshmen are from this

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area, and 26% are new student transfers from area community colleges.

. Virginia Commonwealth University prides itself on balancing the three goals of excellence, access, and diversity in all our activities. To respond to our urban mission, we offer classes from 7:00 a.m. to 10:00 p.m. daily, as well as in selected work place settings around the Richmond area. Some of our courses are offered using a weekend model. Annually our summer sessions span May to August, day and evening, making it one of the largest in the southeast. Our Medical Center is open "round the clock" to serve our urban patient needs for clinics service and hospitalization.

Our University has the capacity to respond to the needs and priorities of the urban area. For example:

. Our Center on Public Affairs, Survey Research Laboratory, provides systematic analyses on matters of local import.

. Our K-12 partnerships span schools and neighborhoods, bringing educators, social workers, health care providers, and local business development efforts to blighted urban areas.

Virginia Commonwealth University offers 12 post graduate certificate programs, 59 masters, and 19 doctoral programs. Of our total degree programs, 44 are offered in Virginia only at VCU.

. The Medical College of Virginia campus of VCU is the third largest academic health center in the southeast, with schools of medicine, dentistry, pharmacy, nursing, allied health professions, and basic health sciences. The MCV hospitals serve 8,983 indigent patients on an in-patient basis and 106,000 indigent patients on an out-patient basis annually.

Mr. Chairman, urban institutions like Virginia Commonwealth University have a long history of programs and services to their community and its population, but it is to several new initiatives that I would call the committee's attention.

Under the leadership of our President, Dr. Eugene P. Trani, the University has set on a course to expand even further our urban mission. Starting after his arrival in June 1990, President Trani announced a program of six community initiatives, each of which is now well underway.

. Community Advisory Boards have been established for both the Academic and MCV Campuses composed of representatives of the surrounding communities. These Boards provide a mechanism whereby University representatives meet regularly with representatives of surrounding neighborhood associations, businesses and cultural institutions to discuss common concerns and objectives. These

groups are tackling such problems as understanding university capital building needs, support for the homeless, role for expanded student volunteerism, historical preservation of surrounding neighborhoods, as well as the inevitable problem of parking.

. The University has entered into a joint agreement with the City of Richmond to share equally the cost of daily maintenance and any capital improvements at Monroe Park, a city park adjacent to our campus. VCU is committed to restoring Monroe Park as a park for the community.

. The VCU Foundation is examining the development of the Community Assistance Program to provide financial incentives to improve and enhance the neighborhoods adjacent to VCU's Academic Campus. The overall objectives of the program are to assist in providing an economic stimulus to assure that there will be an ample supply of residential housing and commercial enterprises to preserve the character of the neighborhoods and to serve the University's faculty, staff and students.

. A program of Community Service Associates has been instituted to provide opportunities for Virginia Commonwealth University faculty and staff to participate in approved community assistance projects. Such projects, identified and approved individually, are conducted in cooperation with neighborhoods, civic associations, governmental or professional organizations, or other community-based functions. This year VCU has twenty-five faculty in such projects as:

    . Business faculty working on a management development program for the Urban League.

    . Information Systems faculty working on management information systems for the State Alcohol Beverage Control Board.

    . Public Administration faculty working with the City of Richmond Budget Office.

    . Mass Communications faculty working with the Richmond Fire Museum to design a public relations campaign for the museum.

. A VCU Community Athletic Recreation Efforts program is underway. The purpose of this program is to extend the use of our recreational facilities to the surrounding neighborhoods. An important element of the plan is to cut across all segments of the neighboring communities to give every age group and economic level the ability to be involved in some phase of this program. This past year over seventy-five separate activities were conducted.

. Finally, a task force of City, State, business, and university leaders has been appointed to address the long standing concerns regarding the condition of Grace Street, a two block area adjacent

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to our campus and known as a city "combat zone." The mission of this Task Force is to make the Grace Street corridor a safer, cleaner, more attractive area. Urban studies are underway. Increased building code, drug and alcohol enforcement have been facilitated. The University has been encouraged to make strategic purchases of property for University use or renovation and resale. The possibility of creating the area as an urban conservation zone or the use of Urban Block Grants are under consideration as a master plan to rehabilitate the area emerges.

In addition, we have just completed a joint feasibility study with city business leaders to consider the establishing of a Biotechnical Research Park adjacent to the Medical Campus. The feasibility study reported that there is a University research base of sufficient size and quality to support such an activity. Community support appears positive, and the next step will be the creation of a University-City-State-Business partnership to begin fiscal planning and development activities.

As I have outlined, Mr. Chairman, VCU, like many urban universities, seeks to play a major role in supporting the economic and community development efforts. Urban universities are major employers and owners or occupiers of significant property within the metropolitan area. Their impact on the overall community cannot be underestimated. The necessity of managing corporate affairs with the understanding of the overall community is integral to the continued development and esteem of the university.

Mr. Chairman, the Urban University Grant Title would enhance our capacity to expand our service and program strategies in economic and community development. However, it is in the area of facility and land use planning that urban universities may have major difficulties. For example, a major accomplishment, is a recently completed parking deck. The deck, constructed with university, state and city funds, provides parking not only for a portion of VCU's commuter students, but for public events because of its location next to the City Auditorium. Its funding was a major impediment.

Particularly sensitive is our interest in acquiring low-income housing property or moving into areas of perceived residential communities. Our university has a variety of historically sensitive properties on its campus which it seeks to maintain, although at additional expense. We also need additional facilities for student and staff housing. Like most land-use debates, core community values frequently stand at the center point: economic development versus environmental protection, cost versus aesthetics, public versus private, academic versus commercial. However, most central is the issue of finance. For urban universities to assist in the resolution of these issues, additional options for financing such activities are needed.

Mr, Chairman, I need not dwell on the economic difficulties confronting urban universities. Suffice to state, we face many of the problems our

K-12 neighbors face. Our multidimensional agenda stresses our resources. Frequently, we are required to provide staff and services longer hours in order to serve our urban constituents. We are caught in the demand for greater services, delivered at lower cost squeeze unlike our sister institutions located in more pastoral settings.

Mr. Chairman, I support the reenactment and funding of the Urban Grant University Act. Under these auspices, urban universities will be encouraged further to expand their responsibilities to their communities, providing an enhanced university role in economic and community development. Consideration should be given in this legislation to permit the urban university to be a full partner in projects supported by the federal home loan funding or the Community Development Block Grant program.

Thank you for your support and interest.

STATEMENT OF

NEVIN C. BROWN

ASSISTANT DIRECTOR FOR URBAN AFFAIRS

NATIONAL ASSOCIATION OF STATE UNIVERSITIES

AND LAND-GRANT COLLEGES

SUBMITTED TO THE

POLICY RESEARCH AND INSURANCE SUBCOMMITTEE

HOUSE COMMITTEE ON BANKING, FINANCE AND URBAN AFFAIRS

BIRMINGHAM, ALABAMA

OCTOBER 28, 1991

Statement of Nevin C. Brown, Assistant Director for Urban Affairs, National Association of State Universities and Land-Grant Colleges, submitted to the Policy Research and Insurance Subcommittee, House Committee on Banking, Finance and Urban Affairs, Birmingham, Alabama, October 28, 1991.

Mr. Chairman, I very much appreciate the opportunity to submit written testimony in behalf of the urban public universities which are members of the National Association of State Universities and Land-Grant Colleges (NASULGC). The University of Alabama at Birmingham is one of these NASULGC urban member institutions. I particularly appreciate your support in recent weeks for the appropriation of funds for Title XI of the Higher Education Act, which supports innovative programs to apply the skills and expertise available in the nation's urban universities toward the solution of pressing urban problems. I welcome your subcommittee's interest in exploring other ways in which federal support can be provided to target urban university resources on significant urban economic development and other problems.

As the representative from one of the nation's most dynamic urban areas, you are familiar both with the strengths of the nation's cities and urban areas as well as with the litany of problems and challenges (as well as opportunities) which they are facing in the 1990s. You also know that one of the most important intellectual and economic resources in cities such as Birmingham is the urban state university. Indeed, the University of Alabama at

Birmingham has been one of the primary engines of growth and transformation for your home city during the past two decades, and similar stories can be told in many cities and urban areas in which urban state universities are located.

Yet urban state universities throughout the country are experiencing a crisis with potentially profound consequences. Diminishing state resources and increasing demands for services have forced urban state universities to take actions that are seriously impairing the quality of instruction and are decreasing access to academic programs. At the same time, urban state universities are attempting to fulfill their historic roles of teaching, research and service amidst major urban problems that have grown dramatically during the past decade and appear to be growing exponentially as the nation proceeds through the 1990s into a new century. Some of these problem areas include growing unemployment, higher levels of crime and violence, strained race relations, deterioration of housing, and diminishing access to health care--all problems that particularly affect the most important members of the urban university community, our students.

Urban state universities draw the vast majority of their students from the cities and urban areas in which they are located; indeed, these institutions have an obligation to provide the highest levels and quality of education to the urban citizens they primarily serve. However, these universities are being challenged in financial ways that are unprecedented. Moreover, as state and federal resources have diminished for technical training, applied research and human service support, urban state universities are

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being asked to provide badly needed expertise and services at little cost and, at times, for no cost at all.

In every respect the profile of the urban state university is very different from its "traditional" counterpart in a small college town. Urban university students are often much older, employed full-time, maintain responsibilities to family and community, and frequently pursue their degree and other programs on a part-time basis while requiring a wide range of student and support services. Because of their urban location, these universities and their services are also heavily used by the external community (such as libraries, hospitals and health care, and recreational facilities). At the same time, university budgets are strained by significant demands for subsidiary services such as security, parking and child care. State funding formulas, however, are strongly biased toward the "traditional" 18-22 year old full-time student; funding formulas in most states do not recognize that part-time students often need support services at levels equal to or exceeding those required by traditional full-time students. At the same time, efforts to recover additional costs through tuition increases are limited by the desire of urban state universities to provide access to educational opportunity for minorities, women and others for whom higher education would not otherwise be available.

The extraordinary costs urban state universities bear to provide educational services to urban citizens make difficult the equal responsibility these institutions bear to conduct economic development- and urban-focused research and to apply that research through technical assistance, training and other means to the

cities and urban areas they serve. In the constrained fiscal environment of the 1990s, the financial margin available within urban state university budgets for research and service is therefore minimal and diminishing.

Nonetheless, urban state universities across the nation have been deeply involved in research and service on key social and economic development issues of critical importance to their cities and urban areas. You are already familiar with the deep involvement of the University of Alabama at Birmingham in the life of your own city, particularly in the medical and economic development fields but also in recent initiatives such as the university's engagement with the Titusville community. Examples from other urban universities would include:

**The Detroit City-University Consortium at Wayne State University, a jointly-funded program of the College of Urban, Labor and Metropolitan Affairs and the Detroit city government which provides short-term faculty consultancies to city agencies seeking expert assistance on a wide range of administrative and social service problems;*

**The Ohio Urban University Program, involving Cleveland State University and several other Ohio urban institutions, funded for the past decade by the Ohio State Legislature as a direct response to the original Title XI of the Higher Education Amendments of 1980, and which supports applied research, data collection and analysis, and training by the state's urban universities to serve the needs of municipal governments in the state's major metropolitan areas in that state;*

*The Florida Center for Urban Design and Research and the Center for Urban Transportation Research, both at the University of South Florida, which have provided applied research, technical assistance and other services to city and county governments in Florida to improve the quality of urban planning and architecture and to provide more effective solutions to the transportation problems of the fast-growing metropolitan areas of the state;

*The Research and Technology Park of the University of New Orleans, anchored by the university's Center for Energy Resources Management, which is attracting the research facilities of science-related corporations to focus joint university-industrial research activity and employment on key economic development and environmental sectors for the New Orleans metropolitan region;

*The National Center for University-School Collaboration at the University of Houston, a recently-created program to focus the faculty and other resources of the university's many colleges on improving the quality of education for urban school children in Houston and beyond;

*The Urban Field Center at the University of Rhode Island, which has worked closely with the Providence city government and school department to establish a series of magnet schools, law-related education programs, and other school improvement programs to improve educational quality and opportunity for disadvantaged youth in the inner city.

These are a very few of the many examples now in place in the nation's urban state universities in which the skills and talents of their faculty members and staff are being applied to some of the

most difficult urban problems. In every case, these universities are stretching their resources both to educate new urban leaders and workers and to provide a wide array of research and service activities to respond directly to the economic development and other needs and conditions of the urban communities of which these institutions are an integral part.

Mr. Chairman, the member institutions of NASULGC have appreciated your recent efforts to advocate funding for a federal program designed to assist the nation's urban universities in fulfilling these many new and continuing responsibilities. Title XI of the Higher Education Act, known initially as the Urban Grant University Act and, since 1986, as the urban community service title of the Act, is designed to create an instructional, research and service program in America's cities that would parallel the work our nation's land-grant universities have done with significant federal assistance (authorized by the 1862 and 1890 Morrill Acts) for the nation's agricultural and rural areas. With your support and that of many other urban members of Congress, a House-Senate conference committee on the 1992 Labor/Health and Human Services/Education appropriations legislation (H.R. 2707) has agreed to fund the Title XI urban community service program for the first time.

The Higher Education Act is currently being reauthorized. Both the House and Senate have included the urban grant/urban community service title in their initial reauthorization proposals (a new Title I in the House measure [H.R. 3553], continuation of a Title XI in the Senate measure [S. 1150]). I urge your support and

that of the members of this subcommittee for reauthorization of the program as part of the Higher Education Act, as proposed in the House and Senate measures mentioned above.

In addition, I encourage your effort through this hearing to explore ways in which programs and legislation under the jurisdiction of this subcommittee can include opportunities for involving and supporting urban university research and service programs to meet the economic development, housing and other needs of the nation's cities and urban areas. The member institutions of my association would welcome particularly the opportunity to work with members of the subcommittee and their staffs to propose amendments to housing, urban and community development legislation for which authorization or reauthorization may be forthcoming in this and future Congresses. We also would welcome a new look at programs in urban-related executive agencies such as the U.S. Department of Housing and Urban Development (HUD), such as the 701 planning grant program and university research opportunities once offered by the Office for Policy Development and Research, to explore their possible re-establishment or revitalization.

Our nation's cities are too frequently mired in problems of poverty and drug abuse, joblessness and homelessness, racism and illiteracy. As great and exciting as they can be, our nation's cities are for too many of our fellow citizens prisons of despair.

But cities are also places in which workable solutions can and must be found. Almost every major urban area in the nation has at its core a cost-effective organization, the urban state university, which studies these problems and proposes solutions, which brings

culture, recreation and middle-class professionals into the city, which empowers the future of our emerging workforce and enriches the lives of our retiring workforce, which provides medical care, job training and youth services, and which prepares teachers and nurtures small businesses.

The urban state universities of the nation are doing all of this and more. These institutions have not waited for the federal support promised by the urban grant/urban community service program of Title XI but instead have moved forward in partnership with local governments and the private sector. But our institutions are not doing enough, and the escalating needs and de-escalating resources of these recessionary times cause us now to ask Congress and the federal government to join our partnership, through support for funding and reauthorizing the urban grant/urban community service program, and through including urban universities in other relevant urban- and economic development-focused legislation, so that we all can be part of the solution for our cities, our students, and our nation's future.

Thank you for the opportunity to submit this testimony.

JOHN O. NORQUIST
MAYOR

OFFICE OF THE MAYOR
MILWAUKEE, WISCONSIN

July 17, 1991

Albert J. DiUlio, S.J.
President
Marquette University
Milwaukee, WI 53233

Dear Father DiUlio:

I am pleased to offer my enthusiastic support and endorsement for the proposed neighborhood partnership plan at Marquette University. The plan promises to yield many benefits for both the University and the City.

In Milwaukee, as in so many of the nation's cities, the serious problems of economic deterioration and rising crime rates have raised increasingly significant concerns over recent years. I understand completely the special implications these issues have for an urban university like Marquette, and I would like to commend you on your initiative in proposing a partnership with the Milwaukee community to develop a positive and productive solution to these problems.

I am confident that the coordinated multi-faceted approach to campus security and community development proposed by Marquette in its Neighborhood Partnership Plan will utilize well the many resources of the University with measurable success.

Let me again offer you my encouragement as you undertake this important program.

Sincerely,

JOHN O. NORQUIST
Mayor

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SOLO SAILOR, LOST AND SINKING!

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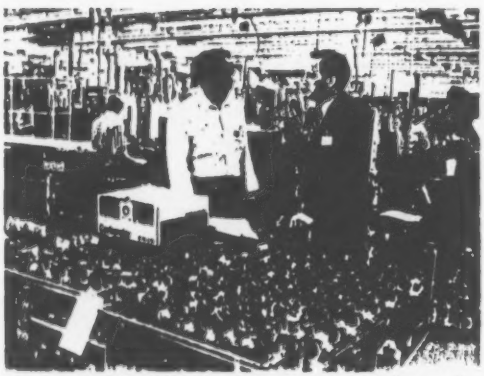
The University That Saved a Factory

By Joseph P. Blank



Grady Cook (left), UAW shop chairman at the GM plant, and J. Barry Mason, leader of the University of Alabama team

The idea was preposterous: calling academics down from their ivory towers to save a business that industry experts considered doomed. But Tuscaloosa did it

THE RECESSION had hit the Tuscaloosa, Ala., plant of General Motors' Rochester Products Division, and no one seemed to know what to do.

Opened in 1978, the plant employed workers who assembled replacement carburetors, emission-control components and carburetor-service kits. When demand for the products plummeted in 1980, nearly one-third of the United Automobile Workers (UAW) employees were laid off, but the plant still needed to cut costs by $2 million a year to remain competitive. In the spring of 1982 GM sent in teams of experts to study the problem.

The difficulty did not lie with the unionized workers. In fact, the divisional general manager considered the Tuscaloosa team "one of the best employee groups in GM." The workers pitched in with management to improve productivity and reduce costs. Workers even criticized one another for not being productive enough. Together man-

PHOTO: CHIP COOPER/UNIVERSITY OF ALABAMA

agement and employees found dozens of ways to save money, but still came up with an annual $470,000 shortfall. On August 17, 1982, GM reluctantly announced that it was phasing out the plant.

With unemployment already about 17 percent, Tuscaloosa (pop. 73,000) could ill afford the loss of some 200 GM jobs and the almost $7 million a year that the plant, at its peak, had been spending on wages and local purchase of supplies. Despite its announcement, GM wanted to avoid the closing. It sent in two more of its management experts to explore last, desperate measures. No option seemed feasible.

On the advice of local businessmen, the GM experts decided to approach the University of Alabama. Somebody there might have useful ideas. The university—Tuscaloosa's largest employer—also was having financial problems with reduced appropriations and layoffs. But its president, Joab Thomas, believed a state university should become involved in the state's economy.

By the first week in January 1983, local industrial-development boards had agreed to give the university a grant of $75,000 to seed research. But a lot of university money would be involved. When Prof. J. Barry Mason, chairman of the university's management and marketing department, was asked to lead the university team, he wondered if President Thomas had something of the riverboat gambler in him. How could professors and students solve problems that stopped GM, with all its expertise? Failure would play havoc with the university's reputation.

Mason assembled a half-dozen colleagues—specialists in management, engineering and energy. He asked them to review the plant's operations and systems, and to tell him if the university could cut operating costs by the $470,000 a year needed to save the plant.

Their answer: "We can do it."

The assurance contained some bravado. "I found it a little scary," recalls Joseph Mellichamp, professor of management science, who had agreed to look into the plant's inventory.

Representatives of the university, GM and the UAW hammered out a three-year contract. The university agreed to pay GM $470,000 a year for the opportunity to use the plant as an applied-research facility. That took care of GM's shortfall. Additional savings instituted through the university would be deducted from the $470,000. One-shot savings didn't count; economy measures had to result in a permanent, annual reduction in the plant's operating costs.

GM agreed to give the university *and* the union access to the plant's books. It also pledged $250,000 a year in fellowships and scholarships for the university, regardless of the outcome. Plant employees accepted a payroll deduction of $55.20 a week to be used, if necessary, by the

university to finance research. GM agreed to return this money to the employees eventually, whether or not the project succeeded.

A task force, soon dubbed The Gang of Twelve, was set up, with four members from the union, four from the university, four from GM. Its unanimous approval was required for each cost-saving proposal.

Enthusiasm for the project wasn't universal. After the January 1983 press conference at which the GM-university contract was announced, a UAW employee approached Barry Mason, who had been introduced as the leader of the university team, and said, "Okay, hotshot, you've had your moment in the sun. Now we'll see what you can *do!*" But newly appointed plant manager Tom Gilligan was hopeful something would emerge from the university's fresh point of view combined with GM's experience. He showed his confidence by having the plant's interior repainted.

Meanwhile, the university team—undergraduate and graduate students as well as faculty members—began exploring the plant and listening to ideas. Mason questioned a longstanding contract for shipping parts from Rochester, N.Y., to Tuscaloosa. A faculty member studying the contract saw ways to reclassify the auto parts for better interstate-shipping rates. Then the company submitted the new structure to various truck companies for competitive bids. The result: savings of $88,000 a year.

Collaboration between the university team and company specialists produced lighter, less expensive containers for shipping parts and products. This saved more than $60,000 a year.

Some office employees wondered if the company was losing money by leasing equipment such as teleprinters and photocopiers. The team found that buying the equipment could save $23,000 a year.

Every aspect of energy use was scrutinized under the guidance of Lee Richey, campus energy manager. Some workers complained that the gust of air from huge blowers in the production area was too strong. On Richey's advice, a change of pulleys reduced the flow of air by half, also reducing the power used by the fans. The pulleys cost $440. The savings: $13,000 a year.

The air-conditioning system in the cavernous warehouse area was replaced with a system of fans. "It made sense to us," said Grady Cook, the UAW shop chairman. "Fans could keep our people comfortable enough, so why throw away money on chilled air?" Installation of the ventilation system cost about $20,000. The savings: $30,000 a year.

Geology expert Prof. C. Everett Brett knew that the Tuscaloosa region had beneath it an aquifer—sand, gravel and porous rock—that held tremendous amounts of water, and tests showed a 60-foot-thick mass only 20 feet below the plant. He proposed a series of wells,

with cool water pumped out during the winter and run through a cooling tower. The chilled water would then be stored in a second set of wells and used to cool the plant in hot months. That process would raise the temperature of the water, but still return it to the storage wells at a lower-than-normal temperature, thus requiring less energy to cool it the second time. The system will cost some $300,000, and the saving in energy expenses is estimated at over $80,000 a year.

Professor Mellichamp computerized the inventory-control system, programming it to make five-year forecasts of needs in order to clean out the dead inventory and avoid premature disposal of saleable products. The system cost about $165,000 but promised an immediate one-time saving of $414,000 which, under the terms of the contract, did not count against the $470,000 deficit. But the Mellichamp system's continuing savings of at least $135,000 a year *did* count.

Each time The Gang of Twelve approved a verifiable cost-saving project an announcement was posted in the plant's conference room. Employees cheered each new notice. And they *worked*. No department—production or clerical—had an efficiency rating of less than 100 percent.

The task force achieved the goal of $470,000 in savings in just eight months. For its efforts, the university was guaranteed a minimum of $750,000 in scholarships over the life of the contract, which is still in effect. In addition, it could reasonably assure GM of at least another $500,000 in annual savings to come. It did not use a penny of the money put into trust by the employees. Each was returned $1600 well before Christmas 1983.

University president Joab Thomas, who had staked his professional reputation on the contract, says, "We have shown business and industry the practicality of using the talents and resources of a university." At GM's Tuscaloosa plant, shop chairman Grady Cook exults, "We worked together as a team and we turned this plant around. The university people weren't outsiders. They were here with us, working to make things better." And GM's Tom Gilligan adds, "The success was the result of a concept that nobody else had ever tried. I believe what happened here will open a new way of thinking about doing business and being competitive."

Watch Words. A friend's college roommate was enjoying Thanksgiving dinner at home when he accidentally overturned his cup of tea. Forgetting that he was in the presence of his family, he released a flood of profanity. His grandmother, visibly shocked, said to him, "You *eat* with that mouth?"

—Contributed by D. D.

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The New York Times

NEW YORK, WEDNESDAY, AUGUST 21, 1991

P. 18

Milwaukee Journal

College Tries to Aid Its Neighborhood

By WILLIAM CELIS 3d
Special to The New York Times

MILWAUKEE — In the past six years, five Marquette University students have been slain or have died in fires in the declining neighborhood that surrounds the campus here.

Once an enclave for middle class families and those employed by the university, the neighborhood, a 30-block area just west of downtown, has deteriorated steadily since the 1960's. It is now home to mostly low-income families living in frame houses that look very much their age. Homeless people drawn to a soup kitchen near the campus often beg students for money.

"This is a neighborhood in crisis," said Michael Burns, assistant to the Rev. Albert J. DiUlio who begins his second year as president of Marquette this fall. "We have to be the catalyst. If this whole west area is not saved as a good neighborhood then the city of Milwaukee has some major problems."

Marquette, a Jesuit university with 11,775 students, has now proposed an ambitious plan to halt the neighborhood's slide.

In a proposed $20 million, five-year package, it wants to reconstruct the housing and offer a wide range of social services, including child care, health care and even an alternative high school, run in conjunction with the Milwaukee public schools, for students considered likely to drop out.

* * *

Other universities, including Cleveland State, San Francisco State and Portland State, have begun projects intended to help their immediate neighborhoods, according to the Association of Urban Universities.

But the scope and cost of the plan by Marquette officials "distinguishes them from other universities," said Jim Harrison, president of the association, which represents 38 public and private urban institutions.

Marquette officials are likely to face difficulty getting Federal financing. Congress has never financed the section of the Higher Education Act that calls for colleges and universities to assist their communities. And though it is expected to do so this year, Marquette is considered unlikely to get the $20 million its officials say it needs.

The Senate Appropriations Committee recently approved $10 million to finance the community responsibility clause of the Higher Education Act. If approved by Congress, the sum would be available in the fiscal year 1992, which begins Oct. 1, for all schools interested in applying.

Although few criticize the intent of the Marquette plan, the chances of a single institution's getting the money it needs for such a project are pretty poor, said Mr. Harrison, who added that other universities would oppose Marquette's receiving a lump sum, presumably at the expense of institutions like their own.

"I'm sure there will be detractors," said Father DiUlio. Nonetheless, he and other university administrators said that if they did not receive Federal aid they would turn to the private sector. "The big players in town know we're here," he said.

The Rev. Albert J. DiUlio, president of Marquette University in Milwaukee, walking through construction in the neighborhood west of the campus. The area has deteriorated steadily since the 1960's. The construction is part of a $20 million five-year plan the university has proposed to halt the neighborhood's slide.

An important element in the Marquette plan is restoring the neighborhood's 100-year-old housing stock.

Although the plan's housing section is still being completed, university administrators say they hope to extend home loans to families to lure middle-class workers and university staff members back to the neighborhood, while protecting working residents from being pushed from their homes.

"I want us to take the lead in refurbishing the housing," said the Rev. William P. Leahy, the university's executive vice president, who is helping with the plan. "I don't think demolition is the answer."

Stabilizing the neighborhood is a difficult proposition. As dilapidated as the buildings may be, they have provided inexpensive housing for Marquette students as well as poor people.

Improving such areas has often resulted in displacing lower-income people who cannot afford the rents needed to pay for housing improvements. But Father DiUlio asserted that "our goal is not to displace people."

In promoting their plan, Marquette officials said the recent series of killings admitted by Jeffrey L. Dahmer, who lived just two blocks outside the boundaries of the neighborhood they plan to renovate, and the mishandling of complaints in the area by the Police Department underscored the need for universities to assist their immediate neighbors.

The primary renovation area encompasses a square mile bounded by 11th and 27th streets and Clybourn and Walnut streets. Mr. Dahmer lived about a mile from the Marquette campus, at 25th and Kilbourn streets.

"We were out there before Jeffrey Dahmer," Father DiUlio said. "But the incident provides tragic proof that we need to do this."

Marquette has received widespread support from the Wisconsin Congressional delegation, Mayor John O. Norquist of Milwaukee, the city's businesses and the Milwaukee Public Schools.

The plan's alternative high school would be staffed by teachers from Marquette's education school and perhaps even occupy a site on campus. But the school itself would be administered by the public school system in an effort to maintain an appropriate separation of church and state.

Sure of the plan but uncertain of the financing, Father DiUlio said, "We don't always have the dollars, but we have the expertise."

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Universities Become Full Partners to Cities in South

By KAREN DE WITT
Special to The New York Times

BIRMINGHAM, Ala. — When the University of Alabama in Tuscaloosa opened an extension here in 1936, it was designed to be just that — a small offshoot in the city offering courses to students who could not attend the main campus.

But today, it is the University of Alabama at Birmingham, not its parent institution, that is the state's hotbed of ideas and progress.

U.A.B. is now the largest employer in the state, it runs the state's most comprehensive hospital, which recently opened a $104 million clinic designed by I. M. Pei, and it counts its economic impact on the region at about $1 billion a year.

The story here has been repeated across the South, as urban universities have become the economic generators in their cities. As their economic importance has grown, these universities — in New Orleans, Charlotte, Atlanta and other cities — have also increased their roles as community leaders, attacking social problems, preserving cultural institutions or generally filling a leadership role once played by business leaders.

And they have played an equally important role in changing the character of the population around them, not only by providing employment but also by making a college education more accessible to poor inner-city residents.

Transforming Cities

"U.A.B. just simply took Birmingham into the First World economically," said H. Brandt Ayers, editor and publisher of the Anniston Star, in Anniston, about 70 miles to the east.

Educators and sociologists say this is part of a broad trend, apparent for some years in the Northeast and now reaching its full impact in the Middle West and especially in the Sun Belt.

As textile, shipping and manufacturing industries that fueled cities like Birmingham and New Orleans began to shrink or die over the last 20 years, the public urban universities increasingly replaced them as major employers and shapers of the new urban landscape.

"Urban universities are doing for the cities in the 1990's what the land-grant colleges did for the rural areas in the 1800's," said Greg O'Brien, president of the University of New Orleans, which is part of the Louisiana State University system.

Taking It to the People

Land-grant colleges and universities were developed to bring public higher education to the country, with a mandate to focus on agriculture and mechanical arts. New urban universities, created for the most part less than 40 years ago, have also changed the socioeconomic profile of people who get college educations.

The classic pattern in the South and Middle West, where the big state universities were in small towns, was that only those urban youngsters with solid family incomes were likely to go off to college for four years. The urban universities have brought the classrooms to the population centers, eliminating travel and boarding from the cost of a college education.

It seems a simple truth, but the concept that education dollars ought to be spent where people live seemed hard to grasp for Southern legislators, who were attuned to spending their higher education budgets mainly in towns like Tuscaloosa, Oxford, Miss., and Athens, Ga.

When money and students began to flow into the new urban universities, it changed not only local economies but also the educational pecking order within many state university systems.

Housing, Race Relations and More

"We are in the midst of a transfer in our economy from an industrial economy to sophisticated service industry," said Marguerite Barnett, president of the University of Houston, which has established an institute to help revitalize Texas school districts. "With most of our people living in cities, a diverse

U. of Alabama-Birmingham actively nurtures its city's blacks.

Photographs by Dave Bustion for The New York Times

The University of Alabama at Birmingham, which opened in 1936 as an extension of its parent institution, has become an economic generator in the city. Richard Arrington Jr., above left, the Mayor of Birmingham, talked with Charles A. McCallum Jr., the university's president, outside a new $104 million medical clinic that was designed by I. M. Pei.

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new population, it is the urban university that is on the cutting edge of change."

Ivory-tower isolation and the traditional town-gown divisions common to small university towns have begun to change, too. Although most university administrators insist they are nonpolitical, many have used the weight of their payrolls to push local governments for improvements in public services and race relations.

Otherwise, the educators argue, they cannot attract the faculty members they need to sustain their reputations and lure the hundreds of millions of dollars in Federal contracts and grants that enrich the local economy.

For example, the University of North Carolina at Charlotte chose a site north of Charlotte and created a new town, University City, which has attracted numerous corporations and improved the region's economy. Georgia State University in Atlanta has a partnership with the local school system to train teachers and administrators, and is working with a mayoral task force to develop residential housing downtown.

Partner to the City

As the profiles of urban universities have risen so has their ability to attract the kind of star talent that only the more prestigious regional universities, like Vanderbilt in Nashville and Emory in Atlanta, had lured for years. After persuading the Coca-Cola Company to endow a jazz chair at its institution, the University of New Orleans got Ellis Marsalis, a highly regarded teacher who is the father of the jazz musicians Wynton and Branford Marsalis, to be the first to hold it.

The university also helped resuscitate the New Orleans Symphony after it was closed for nearly a year, a typical example of the community-university links that have developed.

"Very few public urban research institutions will simply be located in their cities in the 21st century," Dr. Barnett said. "They will have to be a partner in their cities if they're going to continue to thrive."

One theme at these universities in the Deep South is that the painful passage through the civil rights struggles of the 60's gave some communities a more open attitude toward diagnosing and treating other community problems.

"History and truth are so close to the surface here that we live with a great sense of reality in the South," said Tennant S. McWilliams, vice president of academic affairs at the University of Alabama at Birmingham. "We've got problems, but the only way to get out from under them is to confront them."

Opening Doors for Blacks

U.A.B. reaches deep into the public life of Birmingham, providing assistance to 90 public schools, research to a burgeoning number of small businesses and design for a model school in a new industrial research park.

To tighten the political bond between the university and the city, U.A.B. gave leave to one of its faculty members to work on the staff of the city's first black Mayor, Richard Arrington Jr.

"It sits right in the middle of the black community, and in its scope, sensitivity and comprehensive commitment to urban life, I doubt there is another university that can match it," Mayor Arrington said.

Because Birmingham once represented segregation at its most monolithic, U.A.B.'s impact is sometimes most easily measured in its impact on educational opportunity for blacks.

Tight-Fisted Legislature

Twenty-five years ago, the city had no accredited public college that admitted blacks. Today one-fifth of U.A.B.'s 16,500 undergraduates are black, the highest percentage of black students at any predominantly white institution in the state.

Twenty-five years ago, blacks were barred from what was then the state's only medical school, and they could not get nursing or paramedical training in Birmingham. Today 14 of the 165 first-year students at U.A.B.'s medical school are black, and four of them ranked in the top 10 percent of their undergraduate classes.

The university is also deeply involved in the effort to build a civil rights museum here.

Such activities can create strains between urban universities and their state legislatures. The Alabama Legislature, historically hostile to Birmingham, is one of the nation's most tight-fisted with education spending. While most state universities draw half of their operating budgets from their legislatures, U.A.B. received only 25 percent, or $162 million of a $633 million budget for the 1990-91 school year.

> As their payrolls grow, campuses gain power in City Hall.

Thus, though Birmingham reaps enormous benefit from U.A.B., it is Federal tax dollars in the form of grants and contracts, scholarships and fees from its hospital services that sustain the university.

Cultivating Its Garden

That local business leaders recognize the benefits of the university is evident, however, in a recent capital fund-raising drive. Some of the city's top corporate executives led it and helped raise $67 million, a noteworthy development in a city whose business executives have seldom exerted the kind of leadership exhibited by counterparts in Atlanta, Charlotte, Houston and other Sun Belt cities.

The struggle to raise money is mirrored in a kind of bootstrap approach to academics that flies in the face of political efforts to end affirmative action and may be unique to U.A.B.

When the university here decided to boost its number of minority faculty members, for example, it eschewed raiding other universities in favor of a long-term effort to develop its own pool of talent. It has a 18-year, multilevel program that provides support for high school students through post-doctoral candidates. Short-term needs are supplied through visiting professorships. The program costs $850,000 a year.

"That's hard state money, and we take it right off the top," said Charles A. McCallum Jr., the university's president. Largely because of the program, U.A.B. has 44 black doctoral students in mathematics and science.

In some states, legislatures have recognized the enlarged role of urban universities in sustaining cities. An urban college consortium in Ohio got its Legislature to reinstate $30 million in state financing for its programs after initial cuts, by showing the economic advantages the colleges bring the state.

At the Federal level, Congress may finance the Urban Grant University Program of the Higher Education Act for the first time since it was enacted in 1980. The program would provide financing for just the kind of city-university partnerships that have been growing across the country.

"Urban universities form a very special function in education, and that role can be expanded as one city after another undergoes transition," said Representative Thomas Sawyer, Democrat of Ohio, who along with Senator Mark O. Hatfield, Republican of Oregon, has proposed $10 million in financing for the program. "That same engine that drove the economy of this nation during the shift from agriculture to urban industrial dominance has the same potential in an urban setting."

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